AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-1

CHAPTER 6

RECORDS DISPOSITION

<u>PAGE</u>

6A.	Record	ls Disposition	6-1		
01 21	1.	Mandatory Application		6-1	
	2.	Records Unidentified by Specific Disp			
	2.	• •	6-1	•	
	3.	Exceptions to Disposition Standards	~ -	6-2	
	4.	Changes in Disposition Instructions		6-2	
	т.	a. Increased Retention Periods		-	
		b. Reduced Retention Periods			
	5.	Disposition Methods		6-2	
	<i>J</i> .	a. Destruction		6-2	
		b. Retirement		6-3	
	6.	Standards for Retaining Records		6-3	
6B.		nsibilities and Duties		0.5	
6C.	-	ures for Surveying and Disposing of Fi		6-4	
oc.	1.		6-4	0-4	
	1.	a. Packing Boxes		6-4	
		b. Marking Boxes		6-6	
	2.	Preparing a Shelf List		0 0	
	3.	Submitting Shelf Lists to the AID Reco			
	<i>J</i> .	Depository			
		a. AID/W	0 0	6-8	
		b. Overseas		6-10	
	4.	Keeping Shelf Lists in the Office		6-10	
	5.	Transferring Boxes to the AID Record		0 10	
	٥.	Depository			
		a. AID/W		6-10	
		b. Overseas		6-12	
		o. Overseas		0 12	
6D.	Process	sing Files in the AID Records Deposito	orv	6-15	
		S I	3		
6E.	Retriev	ring Retired Files from WNRC	••••	6-15	
	1.		6-15		
	2.	Overseas	6-17		
	3.	Returning Files to WNRC		6-17	
	4.	Withdrawing Files from WNRC Perma	anently		6-17
Œ	_				
6F.		ving Retired Official Personnel Folders			
			6-18		
	1.		6-1		
	2.	Overseas	6-18		

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-3

6G.	. Disposing of Records During Close-Out of, or Emerg			
	Situ	nations in, Overseas Offices	6-20	
	1.	Normal and Immediate Close-Out		6-20
	2.	Emergency Situations	••	6-20
		a. General	. 6-20	
	3.	Menaces to Health or Property		6-21
	4.	Reporting Requirement	••••	6-21
6H.	Mana	aging Local Storage Facilities		6-21
	1.	Need	6-21	
	2.	Objectives	6-22	
	3.	Physical Features	6-22	
	4.	Procedures	6-23	
	5.	Control in Local Storage		6-24
	6.	Retrieval from Local Storage		6-24
	7.	Annual Review (C&R Personnel)		6-24
6I.	Supp	olies for Retiring Files	6-24	
6J.	Reco	ords Disposition	6-24	

LIST OF FIGURES

- 6-1 Notification of Retirement of Inactive Files, AID Form 5-45
- 6-2 Form 135-A Shelf List
- 6-3 Shelf List-Alternate
- 6-4 Shelf List Memorandum
- 6-5 Cardboard Shipping/Storage Box
- 6-6 Wood Shipping Crate
- 6-7 Reference Request--Federal Records Center (OF 11)
- 6-8 Request for Official Personnel Folder (SF 127)

APPENDIX

- 6A Records Disposition Schedule--A.I.D/W Index to AID/W Schedule
- 6B Records Disposition Schedule--USAID Index to USAID Schedule
- 6C Records Disposition Schedule--Machine Readable Records (Reserved) See Mandatory Reference for ADS 502 entitled, Electronic Records Disposition Schedule.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

CHAPTER 6

RECORDS DISPOSITION

6A. Records Disposition

Records created or received by each office as documentation of its organizational functions, policies, decisions, procedures, operations, or other essential activities must be preserved in accordance with applicable Federal laws, regulations and procedures. Under the same laws and regulations inactive and obsolete files must be systematically eliminated through retirement to a local storage area, a Federal records center, or by being destroyed. The Records Disposition Schedule (Appendix 6A-6C), developed in conjunction with the National Archives and Records Administration, is the authority and guide for records disposition in AID. The Introduction to the Schedule gives information on its proper usage and application.

Disposition, as used in the handbook, means the transfer, retirement, and/or disposal of record or nonrecord material. Destruction or other disposal of records should be carried out in accordance with existing security regulations.

1. Mandatory Application

The application of disposition standards provided in this chapter and in the Records Disposition Schedule is mandatory. (See 6A3 below for the procedure for obtaining exceptions.) These standards have been concurred in by program officials, the Agency Records Management Officer, the Archivist of the United States, and other appropriate Government agencies. Official records documenting approved records retention and disposal standards are maintained by the Records Management Branch (M/SER/MO/PA/RM).

2. Records Unidentified by Specific Disposition Instructions

Whenever a record series cannot be identified with a specific disposal instruction (Appendix 6A-6C), the office accumulating the records shall request establishment of maintenance and disposition instructions. These requests shall include a complete description of the new file in terms of the function or process that it documents; a reference to the law, regulation, or other directive requiring or governing its creation; recommended disposition instructions; and

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-5

6A2

representative samples of individual documents contained in the file. The request is forwarded to the appropriate Records Management Liaison Officer (RMLO, as described in Chapt. 1) for review. If the RMLO agrees that additional maintenance and disposition instructions are needed he or she will forward the request and a recommendation to M/SER/MO/PA/RM. If the RMLO determines that the records in question can be identified in the disposition schedule, he or she will so indicate and return the request to the preparing office.

3. Exceptions to Disposition Instructions

All requests for exceptions to prescribed instructions for cutoff, retention, and final disposition shall be forwarded to M/SER/MO/PA/RM, through the appropriate RMLO, for review and appropriate action. Each request shall include the recommendations of the RMLO.

4. <u>Changes in Disposition Instructions</u>

Disposition instructions for specific files are changed period- ically by M/SER/MO/PA/RM with the approval of NARA to reflect reevaluation of operational needs for the files and changes in statutory requirements, administrative procedures, and methods.

- a. <u>Increased Retention Periods</u>. If a changed instruction increases the retention period, the instruction shall be applied to all records of that description regardless of where they are maintained or when they were created. Positive steps shall be taken to ensure that inactive and cutoff records are brought under the new (changed) disposition instruction. The appropriate Federal records center shall be notified of the new disposition instructions to be applied to retired records.
- b. <u>Reduced Retention Periods</u>. If a changed instruction reduces the retention period, the instruction shall be applied retroactively unless it is impractical or uneconomical to do so. For example, if the new instruction can be applied to inactive records only by screening and marking the folders individually, it normally would be more economical to retain the records for the longer period than to attempt to post the changes.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

6A4b

5. <u>Disposition Methods</u>

a. Destruction

Many of the files kept in AID offices can be destroyed either because they are nonrecord material, or the retention periods authorized in the Disposition Schedule shown in Appendix 6A-6C have run out. The records supervisor or files custodian ensures that:

- o classified and administratively-controlled records are destroyed in accordance with security regulations, Handbook 6, Security; and
 - o a brief record is made of the volume of files destroyed.

b. Retirement

(1) General

The Washington National Records Center (WNRC) stores many of AID's inactive files until destroyed or transferred to the National Archives. Because retired records may be recalled and re-used, effective controls must be maintained.

(2) AID/W

Retired records should be sent through the AID Records Depository (the AID staging area in Room B-531C, New State), to the Washington National Records Center, in Suitland, Maryland.

(3) Overseas

Records eligible for retirement should be sent to local storage if they can be disposed of within five years. Ship them to the AID/W Records Depository for retirement to the WNRC if they are of permanent value or need long-term retention.

6. Standards for Retaining Records

Keep only active files in office space. Active subject files normally cover the current fiscal year plus two prior fiscal years. Active case files normally cover current transactions or activities that have not been completed or terminated, and still have administrative value in the day-to-day operations of the office. For specific retention periods after closeout, see the Records Disposition Schedule, Appendix 6A-6C.

Posts in troubled areas where threat of emergency exists should keep files covering no more than one fiscal year, in addition to the current fiscal year, in office space. All other files should be sent to WNRC for retention or destruction.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-7

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

6B. Responsibilities and Duties

Records supervisors, files custodians, or other designated employees must:

- o follow the Records Disposition Schedule in Appendix 6A-6C;
- o dispose of inactive or obsolete records in accordance with procedures contained in this chapter.

6C. Procedures for Surveying and Disposing of Files

Survey files at least annually near the end of each fiscal year, or if that's not possible, at some regularly scheduled time each year. Identify the files eligible for destruction or retirement using the retention criteria described in 6A6, above. Destroy all inactive working files, extra copies, non-record material maintained in official files, and official files with expired retention periods.

1. Retiring Files

Use standard one-piece cardboard records storage and shipping boxes, 10" x 12" x 15". Boxes will not be repacked at the AID Records Depository unless they are damaged in shipment from overseas.

a. Packing Boxes

- (1) Combine boxes into lots. All files within a given lot must have the same disposition date and must not contain a mix of classified and non-classified files.
- (2) Pack records in their original folders, in the same order as they were in the file drawers (subject to 1 above). Face all folder labels in the same direction. All letter-sized folders must face the front of the box (the end with the label) and legal-sized folders must face to the left (when you look at the box from the front).
- (3) Pack boxes so that the folders can be taken out easily. Do not overpack them or strain the seams. Stuff newspaper into partially filled boxes to prevent the folders from shifting.
- (4) Wrap oversized documents such as accounting ledgers, rolls of maps, or engineering drawings, with heavy kraft paper. Double-wrap and seal to provide protection during shipment from overseas.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-9

NOTIFICATION OF RETIREMENT OF INACTIVE FILES, AID FORM 5-45

Form 5-45

Figure 6-1

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

6C1

b. <u>Marking Boxes</u>

- (1) Do not attach labels to boxes. The glue on labels dries out over time and labels fall off.
- (2) Mark each box on the front end. If the boxes are being sent from AID/W, include on each box the box number and lot number. The lot number is obtained by calling the Vault Supervisor at the AID Record Depository, and is placed on the boxes as well as on Form 5-45 (Figure 6-1). No other information is needed on the box labels since the lot number serves as the link between the boxes and the identifying information on Form 5-45.

For boxes from overseas, include on each box only the security classification and box number. The other shipping information on the box(es) provides the AID Depository with sufficient identification. Do not attach labels to boxes.

2. Preparing a Shelf List

A listing of all folders to be retired is a shelf list. It serves as an inventory form and disposition guide for the AID/W Depository and WNRC when sent to them. Only lots with identical disposition dates may be included on any one shelf list.

- a. A shelf list is prepared by filling out an SF 135-A in triplicate. SF 135-A is a continuation sheet, but should be treated as a first page. SF 135 constitutes the first page of the two-part form and is filled out by the AID/W Depository and sent to WNRC. Use Figure 6-2 which is a shelf list of loan commitment files as an example and fill out SF 135-A as follows:
 - (1) Leave columns (a) through (d) blank.
- (2) For column (e), Agency Box Numbers, give the simple numerical order of the boxes.
- (3) Under Series Description (f) list the folders, using the titles and dates on the folder labels.
 - (4) Leave column (g) blank.
- (5) Under Disposal Authority (h) cite HB 21 (Handbook 21) and the appropriate disposition item number from the Files Plan (under Schedule Series) or the Disposition Schedule (App. 6A-6C). Check the Disposition Schedule for a GRS citation, e.g. (GRS 16/2.b), under the column headed Authorized Disposition. If one is listed, enter that citation under the above-mentioned Item number. This citation is critical for the use of WNRC.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-11

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Form 135-A Shelf List

Fig. 6-2

AID HANDBOOK 21-II Trans. Memo. No.		Effective Date	Page No.
	21-II:20	October 27, 1993	6A-13

6C2a

- (6) Under Disposal Date (i), compute from the Files Plan or the Schedule the destruction date and list it. If there is more than one retention date for the files, compute the destruction date using the latest retention date. WNRC will use this date as its guide for destruction of the files.
 - (7) Leave the remaining columns on the form blank.
- b. If SF 135-A is unavailable, prepare a shelf list on plain paper in the following manner, using Figure 6-3 as an example.
- (1) On the first few lines, give a brief description of the files being retired, their inclusive dates, and the highest security classification.
 - (2) List the boxes in sequence, beginning with box number one.
- (3) List the titles and fiscal year or date span (earliest to latest date) of each folder label in the order that the folders are arranged in the box. If that information doesn't appear on a label, check inside the folder and add the information to the label. (Note: If all the folder labels in a file group are from the same date span, show the date span in the group heading and not for each item.)
- (4) In the Disposal Authority column, cite HB 21 and the item number from the office Files Plan or the Records Disposition Schedule. Compute disposition date and list GRS citation as described in 2a(5) and (6) above.

3. Submitting Shelf Lists to the AID Records Depository

a. AID/W

- (1) Complete AID Form 5-45, Notification of Retirement of Inactive Files, in triplicate, for each lot. See Figure 6-1. The lot number on the form is obtained by calling the Vault Supervisor at the AID Records Depository, and is placed on the box labels as well. The WNRC accession number block should be left blank as the Vault Supervisor will assign it a number when he receives the form.
- (2) Send the original and one copy of the shelf list together with two copies of AID Form 5-45 to the AID Records Depository in Room B-531C, NS. Mail these separately from the boxes. One copy each of the shelf list and Form 5-45 will be returned to the office.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

SHELF LIST--ALTERNATE

FIGURE 6-3

AID HANDBOOK 21-II Trans. Memo. No.		Effective Date	Page No.
	21-II:20	October 27, 1993	6A-15

6C3

b. Overseas

- (1) Send the original and one copy of the shelf list(s), with a covering memorandum, by air pouch to the AID Records Depository, Room B-531C, New State. Do this immediately after shipping retired files to AID/W.
- (2) Include shipping information such as registry number and date of shipment, in the memorandum. See 6C5b for special procedures needed for commercial freight shipments.

4. <u>Keeping Shelf Lists in the Office</u>

Keep suspense copies of all shelf lists until the AID Records Depository staff sends back a shelf list "package" consisting of the shelf list, Form 5-45, and a covering memorandum (see Figure 6-4). The memorandum and Form 5-45 will contain information necessary for retrieving files from storage in the future, so it is important to keep these together with the shelf list. It is a good idea to keep them in a loose-leaf binder. Do not retire or destroy the shelf list during the life of the office.

5. Transferring Boxes to the AID Records Depository

a. AID/W

- (1) Close boxes by inter-folding the side and end flaps. Do not tape them.
- (2) Address the top of each box to:

AID Records Depository Room B-531C, New State

(3) Up to three boxes can be sent through the regular AID messenger service. Submit AID Form 5-7, Requisition, to M/SER/MO/PA/RM to arrange the transfer of more than three boxes to the Records Depository.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

SHELF LIST MEMORANDUM

AGENCY FOR INTERNATIONAL DEVELOPMENT WASHINGTON, D.C. 20523

MEMORANDUM

TO: Irma Filehandler, SER/OP/W

FROM: Henry White, AID Records Depository

Room B-531C, New State

THRU: Barbara J. Felton, Agency Records Officer,

(703) 875-1749

SUBJECT: Records Disposition

REF: AID Handbook #21, Part II

Your records and shelf list were received in good order. For future reference to these records please refer to the accession number, Washington National Records Center (WNRC) location number, the box number, and the lot number all of which are shown below.

These records are located in: Accession Number 286-87-077, W.N.R.C. Location Number 08/24:48-7-5,

Box Number 1-20,

Should you have any questions concerning these procedures or other aspects of records retirement and disposition please telephone us at (202) 647-9121.

Lot Number <u>87-17</u>.

Attachments:

- 1. AID 5-45
- 2. Shelf List

FIGURE 6-4

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-17

6C5

b. Overseas

(1) General

Use the instructions below regarding addressing and shipping to meet security needs. The following instructions for packing will prevent damage in transit which will avoid the need for repacking at AID/W. Wrap each box in heavy kraft paper, seal center and edge seams, and tie securely. See Figure 6-5.

(2) <u>Classified Files</u>

(a) Address each box this way:

SECRET (or other appropriate security classification)

AID/W Records Depository c/o Department of State Washington, DC 20523

(b) Ship by diplomatic pouch.

(3) <u>Unclassified Files</u>

- (a) When shipping boxes by commercial freight, pack up to six boxes per crate. See Figure 6-6.
 - (b) Address each shipment as follows:
 - (i) Commercial shipment and APO:
 Agency for International Development
 AID Records Depository
 320 21st Street, NW.
 Washington, DC 20523
 - (ii) Pouch:

UNCLASSIFIED
Agency for International Development
AID/W Records Depository
c/o Department of State
Washington, DC 20523

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

CARDBOARD SHIPPING/STORAGE BOX

Figure 6-5

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-19

WOOD SHIPPING CRATE

Figure 6-6

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

6C5b(3)

(c) Mark containers "l of 2," "2 of 2," and so forth, as appropriate.

(4) <u>Commercial Freight Shipments (Unclassified Only)</u>

- (a) Show the appropriate U. S. Dispatch Agent (San Francisco, Baltimore, New York, or Miami) as the consignee on the ocean bill of lading.
- (b) Prepare an original and one copy of a "Notice of Shipment" memorandum, immediately upon consignment of the shipment. Send the original by air pouch to the appropriate U. S. Dispatch Agent, along with the original bill of lading. Include the port of departure, vessel and voyage number, U.S. port, estimated time of arrival, bill of lading number, description of contents (including the number of crates and boxes), appropriation and allotment numbers, forwarding instructions, and also include funding citation for shipment from the port of entry to Washington, D.C.
- (c) Air pouch a copy of the "Notice of Shipment" memorandum to the AID Records Depository.

6D. <u>Processing Files in the AID Records Depository</u>

The AID Records Depository serves as a staging area for files awaiting transfer to WNRC for storage. To retrieve files still in the AID Records Depository give the Vault Supervisor the lot and box numbers and the title of the folder wanted.

6E. Retrieving Retired Files from WNRC

AID/W and overseas offices can request retired files stored at WNRC by submitting requests to the AID Records Depository. Retired files may be retrieved at any time. The procedures are as follows:

1. AID/W

- a. Prepare Optional Form II (OF-II), Reference Request-Federal Records Centers, (see Figure 6-7) to provide the following information:
 - o Title and date of file (exactly as shown on the file folder label);
 - o WNRC accession number
 - o Agency box number; and
 - o Records Center Location Number.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-21

Reference Request--Federal Records Center (OF-11)

Figure 6-7

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

6E1

This information can be obtained from the shelf list package returned by the Vault Supervisor to the office after retirement of the files to the AID Records Depository. Both Form 5-45 and the covering memo give the accession number and location number, and the shelf list gives the box number and folder information. If the office shelf list cannot be found, the information can be acquired by calling the Depository, although this practice is not encouraged.

b. Forward the OF-11 to the Vault Supervisor who will forward it to WNRC.

2. Overseas

All retrieval requests from overseas offices are processed by the Vault Supervisor. Address requests to the AID Records Depository, Room B-53lC, NS. Give:

- o accession number, location number, and box numbers taken from the covering retirement memo and shelf list; and
- o folder title and fiscal year, or date span, exactly as they appear on the shelf list.

Indicate whether the records are for temporary or permanent withdrawal, if known at the time of ordering.

3. Returning Files to WNRC

Files retrieved for temporary use must be kept separate from active files. Return them promptly after using them. Return them in the original folders or boxes through the AID Records Depository.

4. Withdrawing Files from WNRC Permanently

When retired files are permanently withdrawn from WNRC:

- a. Annotate the copy of the Shelf List held by the records supervisor or files custodian to show that the file has been permanently withdrawn.
 - b. Notify the Vault Supervisor, who will annotate the master Shelf List.
 - c. File the records that have been permanently withdrawn with the active files.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-23

6F4

- d. Retire the records again, later, under a different accession number, if their retention periods have not expired.
- 6F. Retrieving Retired Official Personnel Folders (OPF's) and Other Personnel-Related Records
 Stored at the National Personnel Records Center (NPRC)

The National Personnel Records Center (Civilian Personnel Records (CPR)) is the central depository for Official Personnel Folders and the Individual Accounts of Payroll of persons no longer employed by the Federal Government.

Only Mission and AID/W Personnel officers are authorized to request OPF's from the NPRC. The requesting official shall furnish the following information:

- o Employee's full name (include the name under which employed, if different),
- o Date of birth,
- o Social Security Number (Substitute any identifying number such as employee number for Foreign National Employees),
- o Place of employment,
- o Date of separation, and
- o Dates the records were transferred to NPRC, if known.

All reference requests should be submitted to the National Personnel Records Center (CPR) on Standard Form 127, Requests for Official Personnel Folder, or Optional Form 11, Reference Request--Federal Records Center. The SF 127 should be used only when requesting Official Personnel Folders of former employees. See Figure 6-8. A separate form should be submitted in duplicate for each individual folder requested. A single SF 127 for multiple-list requests will not be accepted.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

REQUEST FOR OFFICIAL PERSONNEL FOLDER (SF 127)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-25

Figure 6-8

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

6G. <u>Disposing of Records During Close-Out of, or Emergency Situations in, Overseas Offices</u>

1. Normal and Immediate Close-Out

Detailed instructions on how to handle records as part of the close-out activities upon termination of an AID overseas office, are contained in Handbook 23, Overseas Support, Chapter 13, 13M.3.

2. Emergency Situations

a. General

- (1) Overseas offices may destroy records without reference to other requirements in this handbook or HB 23 in the event of war, civil disturbance, natural disaster, or other circumstances that make an evacuation necessary.
- (2) In such an event, the Director or other authorized official, in coordination with the head of the Diplomatic Mission, whenever possible, may authorize the destruction of all AID records under his or her jurisdiction. The Director must determine that keeping them would be harmful to the interests of the United States Government.
- (3) Missions are to have in place a Vital Records Program in accordance with HB 21, Part II, Chapter 7, to ensure that duplicates of vital records are held in storage at designated safehaven sites to enable missions to continue essential operations under an emergency. However, in spite of this safety net to protect vital records, mission management stafff should develop a plan to effectively destroy, safely remove, or abandon (unclassified records only) AID records in the event of an emergency. This plan must assign responsibilities and methods for:
 - a. Identifying records to be removed, destroyed, or abandoned.
- b. Establishing priorities to remove or destroy various groups of records.
- c. Assuring that classified and unclassified records are kept separately so that classified material can be destroyed quickly when necessary.
- d. Designating those people who will have access to classified records and who will be able to destroy or remove them.
- e. Providing for readily accessible facilities, equipment, and eupplies needed to put the emergency records plan into motion.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-27

6G2a(3)

f. Providing procedures for recording the actual disposition of each group of records.

3. Menaces to Health or Property

- a. When records are in such a condition that they become a continuing menace to health or property, the post staff must notify the AID Records Management Officer (RMO), FA/AS/ISS/RM. A health or property menace may include damage by insects, water, or rodents. Include the following information in the notification:
 - (1) Identification of the records involved;
 - (2) A description of the nature of the menace; and
 - (3) A recommendation for corrective action.
- b. The RMO will request the National Archives and Records Service to authorize the emergency destruction of the records if nothing can be done to salvage them.

4. Reporting Requirement

As soon as possible after the emergency disposition has been done, prepare a memorandum report, "Emergency or Close-Out Disposition of Records" (Report Control Symbol U-520/2). This report is <u>mandatory</u>. Address it to the AID RMO and include:

- a. A description of the Mission files that were evacuated, the volume, the method of evacuation, the safe-haven address, and the names of any staff members who were assigned the responsibility to remove the records; and
- b. A description of the Mission official files that were destroyed, their volume, and the name of the official who authorized their destruction.

6H. <u>Managing Local Storage Facilities</u>

1. Need

Overseas offices should have local storage facilities to provide a convenient central point to keep records during the time between their use in current office files and their destruction or shipment to

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

6H1

AID/W. Often, unless the disposition in the Records Disposition Schedule specifically stipulates to send a file to AID/W, the disposition "Destroy 3 yrs. after closing," for example, means the file will be held in the local storage area until its destruction.

2. Objectives

Records are stored locally by overseas offices to:

- a. Free file space in offices for active new files.
- b. Gather all the inactive files under the supervision and control of Communications and Records (C&R) staff. These people oversee the disposition of inactive files in accordance with the AID Records Disposition Schedules. They also coordinate records packing, listing, and shipping services.
 - c. Ensure periodic screening and disposal of stored files.
 - d. Establish a central reference service for stored and retired files.

3. Physical Features

- a. Keep files in local storage in standard records storage and shipping boxes on open shelf files. Local storage should have enough shelves to store 30-40 percent of the Mission's total volume of official files.
- b. Consider floor loading, available light and ventilation, control of access to the storage area, and protection of records against fire, rodents, and climate.
- c. Arrange rows of shelving along the long axis of the room. Allow 30" (76.2 cm) aisles between rows and a 5' (1.53 m) main aisle next to the entrance. This wide aisle should allow access to all the narrower aisles.
- d. Wood shelving may be constructed locally. Adjustable open-type steel shelving may be purchased commercially. Allow 38" (96.5 cm) between upright supports. For shelving in the middle of the room, make them 30" (76.2 cm) deep. Units built against walls should be 15"

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-29

6H3

- (38.1 cm) deep. Either type will have 3/4" (1.9 cm) shelves, spaced ll-l/2" (29.21 cm) apart. Adjust the height of the units to the height of the room. However, allow 15" (38.1 cm) of open space between the top of the shelving unit and the ceiling. This is for air circulation and fire protection.
- e. A five-shelf wall unit built in the dimensions given above will store 15 cubic feet of records. A five-shelf open floor unit will store 30 cubic feet of records.
- f. Number the shelf spaces consecutively as a locator device for records in storage.
- g. In addition to shelving, provide adequate lighting, a large work table, and enough free floor space to stack boxes while awaiting crating.

4. Procedures

The following procedures may be modified to fit the needs of individual overseas offices. Files custodians must consult with C&R supervisors, or other employees responsible for records management, before transferring files to local storage.

- a. Transfer only inactive official files to local storage.
- b. Pack original folders in boxes in the same sequence as they were in file drawers, or in the manner described in 6Cla.
- c. Prepare as many shelf lists as are needed by each office to be kept in the respective offices. If the boxes are eventually shipped to AID/W, the same shelf lists may be used.
- d. Tape an identifying label securely to the end of each box to show the following information:
 - o Shelf space number,
 - o Originating office,
 - o Box number (if desired),
 - o Description of contents,

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

6H4d

- o Inclusive dates of contents,
- o Date stored.
- o Date to ship to AID/W, or
- o Date to destroy, and
- o Classification.

5. <u>Control in Local Storage</u>

- a. Number each box space in the storage area consecutively from 1 to the maximum capacity.
- b. Prepare a locator log to be used as a finding device and disposition schedule. See Figure 6-9. Number the lines on the locator log to correspond to the spaces in the storage area (consecutively from l to the maximum capacity of the storage area.)
 - c. As boxes are moved into the storage area:
 - (1) Add the shelf space number to each box and to the shelf list.
- (2) Enter each group of records transferred to local storage on the storage locator log.
- d. Review the log periodically to pick out records that are eligible for retirement to AID/W or destruction at the post.

6. Retrieval from Local Storage

Offices may recall stored files by supplying the C&R staff with the file space number, date of storage, and file folder title. Insert a charge-out record in its place when a folder is removed from a box. If an entire box is taken from shelf space, replace it with a charge-out record.

7. Annual Review (C&R Personnel)

Conduct an annual review of the records in local storage areas. Dispose of records as necessary but at least annually.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-31

6I. Supplies for Retiring Files

In AID/W, records storage/shipping boxes and AID Form 5-45, Notification of Retirement of Inactive Files (Fig. 6-1), may be obtained from the AID Records Depository. The form for the shelf list, SF-135, Records Transmittal and Receipt (Fig.6-2), and OF-11, Reference Request--Federal Records Centers (Fig. 6-7) may be secured from the GSA Customer Supply Center or other supply channels. Overseas, boxes and forms are secured from normal supply channels.

6J. Records Disposition

The AID Records Disposition Schedule is shown in Appendix 6A-6C.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

FORMAT FOR LOCAL STORAGE LOCATOR LOG

>	>	>	> Dispo	osition
Schedule	>	>		
> Space	>	>	> <u>(give da</u>	<u>te)</u>
	>	>	_	~
> Number	> Office	> Contents	> Destroy >	> Ship
A.I.D./W	> COMMENTS	_ >		
>	>	>	>	>
	>	>	40/4/7777	
> 1	> Controller	> FY XX Vouchers 1-96	> 10/1/XX	>
	>	>		
>	<u>></u>	>	<u>></u>	>
	<u>></u>	>		
>	>	>	>	>
2	>	>	10/1/3737	
> 2	> Controller	> FY XX Vouchers 1-160	> 10/1/XX	>
	>	>		
>	<u>></u>	>	<u>></u>	>
	<u>></u>	>		
>	> .	>	>	>
2	> Screen for	>		
> 3	> C&R	> Gen. Subj FY XX	>	>
10/1/XX	> disposal	>		
>	>	<u>></u>	>	<u>></u>
 -	> material	>		
>	>	>	>	>
. 4	> "	> " " "		
> 4			>	>
_	>	>		
>	<u>></u>	<u>></u>	>	<u>></u>
	<u>></u>	>		
>	>	>	>	>
. =	>	>		
> 5	> > > > > > > > > > > > > > > > > > >	>	>	>
	>	>		
>	<u>></u>	>	>	>
>	<u>></u>	>		
>	>	>	>	>
> 6	>	>	>	>
> 0	> >	>	>	>
	>	>		_
>	<u>></u>	<u>></u>	>	<u>></u>
>	<u>></u>			
>	>	>	>	>

	>	>		
> 7	> PAD	> Proj. 085 Terminated	>	>
10/1/XX	>	>		
>	>	> 9/30/XX	>	<u>></u>
	<u>></u>	>		
>	>	>	>	>
	>	>		
8	>	> CD	> Loan 32	>
0/1/XX	>Before shipping>			
>	>	>	>	>
	> See Ms. Brown	>		
>	<u>></u>	<u>></u>	<u>></u>	<u>></u>
	>	>		
>	>	>	>	>
	>	>		
> 9	>	>	>	>
	>	>		
>	>	<u>></u>	>	2
	>	>		
>	>	>	>	>
	>	>		
> 10	>	>	>	>
	>	>		
>	<u>></u>	<u>></u>	>	<u>></u>
Note: \	>	>		

Trans. Memo. No.

21-II:20

Page No.

6A-33

Effective Date

October 27, 1993

AID HANDBOOK 21-II

Figure 6-9

for replacement information, if necessary.

Page No.Effective DateTrans. Memo. No.AID Handbook 21-IIOctober 27, 199321-II:20

Appendix 6A

INTRODUCTION

RECORDS DISPOSITION SCHEDULE - A.I.D./W

- A. <u>Authority</u>. This Schedule constitutes the sole legal authority for the retention and disposition of records in A.I.D. at all organizational levels. ** This schedule has been approved by the National Archives and Records Administration under Job # NC1 286-86-1.**
- B. <u>Application of the Records Disposition Schedule</u>. Senior executives and their principal subordinate officers are responsible for the proper application of disposal authorizations to records in their custody. Any questions concerning a disposal authorization or its application should be referred to the Records Management Branch in A.I.D./W (M/SER/MO/PA/RM).
- (1) <u>Scope</u>. The disposal authorizations contained in the Schedule apply to all records of the type described regardless of their physical location, e.g., central files; officially decentralized files; or working files at an individual's desk. The authorizations apply to both classified and unclassified records unless otherwise specified. Care should be exercised in applying the Schedule.
- (2) Exceptions. Records pertaining to claims and demands by the Government of the United States or against it, or to any accounts in which the Government of the United States is concerned, either as debtor or creditor, shall not be destroyed under any disposal authorization until such claims, demands, or accounts have been settled and adjusted in the General Accounting Office, except upon written approval of the Comptroller General of the United States. Records having value in connection with any pending or prospective litigation must be retained until such litigation has been terminated. Bureaus or offices receiving requests for records or information therefore in connection with litigation shall inform the Office of the General Counsel immediately. Bureau and Office Heads are responsible for insuring against inadvertent destruction of any records of the type described above by having them segregated from other files that may be destroyed under normal disposal procedures.
- C. <u>Arrangement</u>. All record series are arranged to the extent possible by function. An organizational grouping of the records has been used when an organizational title conforms to the description of the basic function performed by the organization. Chapters I XIII of the Schedule pertain to records that document the basic programs or substantive functions of the Agency whereas Chapters XIV XX pertain to administrative or facilitative records that support the housekeeping functions (personnel, procurements, etc.).

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-35

- D. <u>Description of Records</u>. Each type of record covered in the Records Disposition Schedule is described as precisely as possible to permit easy identification with file groups or series, thereby eliminating the need for paper-by-paper screening.
- E. <u>Disposition Instructions</u>. The disposition instructions for the majority of items listed in the Schedule provide for destruction after a specified period of time. The retention period given is to be applied regardless of whether the file is blocked by fiscal or calendar year. Retention periods as well as instructions for retirement, transfer and destruction are to be found under the column "AUTHORIZED DISPOSITION" in the Schedule.
- F. <u>Method of Destruction</u>. All classified and administratively controlled records authorized for destruction shall be destroyed in accordance with the provisions of Handbook 6--Security. For the purpose of destruction, certain types of unclassified records such as personnel, or records containing detailed biographical data or any other records that might prove embarrassing or detrimental to operations if they were to fall into unauthorized hands shall also be treated as classified. The security regulations themselves do not constitute authority for the destruction of records, but only prescribe the method by which destruction shall be accomplished.
- G. <u>Records of Destruction</u>. A record of the volume of material destroyed should be maintained by personnel responsible for the records.
- H. Review of the Schedule. Each Bureau and Office is responsible for ensuring compliance with the provisions of the Records Disposition Schedule and ascertaining that all records of the organization are covered by appropriate disposal instructions. Each office will review its files at least annually to determine whether the applicable items on the Schedule are adequate and being followed.
- a. Recommendations to add, delete, or change records disposition instructions will be made when annual reviews disclose:
 - (1) Records series not covered by the Schedule.
- (2) Items that should be deleted from the Schedule because the records involved are no longer being created or maintained.
- (3) Retention periods which need to be changed. Changes should be recommended only when the need is clearly indicated and justified.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

- b. Proposed Records Schedule revisions will be submitted to the Records Management Branch (M/SER/MO/PA/RM) through the appropriate records liaison officer. Recommendations should contain the following information:
 - (1) Organizational unit(s) accumulating the records.
- (2) A clear and meaningful description of the records, including the purpose for which the records were created, their relationship to the program activities of the unit creating them, and their relationship with other records, including duplication elsewhere in content or in substance.
- (3) A proposed period of retention no longer than necessary to satisfy normal administrative, historical, legal, and fiscal requirements, with full justification for the retention period. If the retention period proposed is longer than that for which the records are in active use, the recommendation should provide for their transfer to the Washington National Records Center.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-37

TABLE OF CONTENTS

RECORDS DISPOSITION SCHEDULE - AID/W

I.	Records Common to Most Offices
II.	Records of the Administrator and Assistant Administrator
III.	External and Public Affairs Records
IV.	Food for Peace and Voluntary Assistance Records
V.	Geographic Bureaus General Records
VI.	Legislative and Legal Affairs Records
VII.	Private Enterprise Records
VIII.	Program and Policy Coordination Records
IX.	Science Advisor Records
X.	Science and Technology Records
XI.	Foreign Disaster Assistance Records
XII.	Advisory Committee on Voluntary Foreign Aid Records
XXI.	Board for International Food and Agricultural Development Records
XIV.	Administrative Management Records
XV.	Fiscal Management Records
XVI.	General Support Services Records
XVII.	Personnel Records
XVIII.	Procurement and Contracting Records
XIX.	Security and Inspector General Records
XX.	Travel and Transportation Records
*XXI	Europe and New Independent State Records

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

** END OF SECTION **

AID HANDBOOK 21-II Trans. Memo. No.		Effective Date	Page No.
	21-II:20	October 27, 1993	6A-39

RECORDS DISPOSITION SCHEDULE--AID/W

I. RECORDS COMMON TO MOST OFFICES

ITEMNO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

Office General Administrative Files

01010 Office Administrative Files

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 They may include copies of internal activity space and utilities, and workload reports (including work progress, statistical, and narrative reports which are 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.

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.

Chronological Files

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. Destroy when 2 years old or when no longer needed, whichever is sooner. (GRS 23 Item 1)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

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.

01020 1) <u>AID/Washington Communications Center</u> Master File

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.

Cut off at end of calendar year, retire to Washington National Records Center (WNRC) 3 months after cutoff. Destroy when 7 years old. (NC 1 286-82-2 Item 1A)

01030 2) Other Offices

Files maintained in the individual

Out off at end of
offices of the Agency's Washington

headquarters as "easy reference"

in active office space
files. Destroy when 1 year old or sooner if no longer needed for reference. (NC 1 286-82-2

Item 1B)

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.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-41

01040 1) Files maintained by or for the immediate offices of the following Agency executives: the Administrator, Deputy Administrator, Assistant Administrators, and the Directors of Offices that report directly to the Administrator.

Cut off at end of fiscal year, retain in active office space. Destroy when 1 year old or sooner if no longer needed for reference.

01050 2) Files maintained by other offices.

Cut off at end of fiscal year, retain in active office space. Destroy when 1 year old or sooner if no longer needed for reference. (NC 1 286-82-2 Item 2A)

01060 <u>Employee Travel Files</u>

Correspondence copies of travel, authorizations, vouchers, itineraries, and other papers pertaining to employee travel, exclusive of records maintained in the Office of Financial Management. Cut off at end of fiscal year. Destroy when 1 year old.

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.

Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer. (GRS 1 Item 18A)

Transitory Files

Papers of short term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below:

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

01080 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. Destroy when 90 days old or sooner if purpose has been served. (GRS 23 Item 4)

01081 b. <u>Letters of Transmittal</u>

Letters of transmittal that do not add any information to that contained in the transmitted material.

Destroy when 90 days old or sooner if purpose has been served. (GRS 23 Item 4)

01082 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. Destroy when 90 days old or sooner if purpose has been served. (GRS 23 Item 4)

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.

Review at end of fiscal year and destroy material of no further reference value. (GRS 23 Item 6) AID HANDBOOK 21-II Trans. Memo. No. Effective Date Page No. 21-II:20 October 27, 1993 6A-43

I. RECORDS COMMON TO MOST OFFICES

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 A.I.D. program and staff activities, with related indexes and finding aids. Arranged by subject/name/country as appropriate.

01100 a. <u>Program Correspondence Files Maintained at High Organizational Levels</u>

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. Cut off at end of fiscal year. Hold in office for 2 years, then retire to WNRC. Offer to NARA in 5 yr. blocks when most recent record is 10 yrs. old. (e.g., in 1987 offer 1973-77 records.)

01110 b. <u>Program Correspondence Files of Country</u> Desk Offices in the Geographic Bureaus

Files documenting the operations in USAIDs and relecting their problems and accomplishments.

Cut off at end of fiscal year. Hold in office for 2 years, then retire to WNRC. Destroy 10 years after cutoff.

01120 c. <u>All other Program Correspondence Files</u> in AID Headquarters Offices

Cut off at end of fiscal year. Hold in office for 2 years, then retire to WNRC. Destroy 10 years after cutoff.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Budget Records

Annual Budget Submission Files

Annual budget submission by each overseas post and each AID/W organizational entity. Includes instructions, assumptions, and guidelines for preparation; the budget request itself; supporting papers; and related information, as follows:

requested and supporting papers.

- o1130 a. PPC/PB's printed record copy of annual budget submissions of overseas posts and AID/W Bureaus and Staff Offices.
- 01140 b. PPC/PB budget background files containing justifications, amounts
- 01150 c. Files of all AID/W components, except PPC/PB, 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.

Permanent. Cut off files annually. Hold in office for 5 years after cutoff, then retire to WNRC. Offer to NARA in 5 yr. blocks when most recent record is 10 yrs old. (e.g., in 1987 offer 1973-77 records.)

Cutoff at end of budget year. Hold in office for 1 year, then retire to WNRC. Destroy 5 years after cutoff.

Destroy 3 years after close of fiscal year covered by the budget. (GRS 5 Item 5B)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-45

Congressional Presentation

Records relating to the development and preparation of the Agency's request to Congress.

01160 a. Office of Legislative Affairs record copy of the printed Congressional Presentation and one copy of each congressional notification.

Permanent. Cut off annually. Hold in office for 2 yrs. after cut off, then retire to WNRC. Offer to NARA in 5 yrs. blocks when most recent record is 10 yrs. old (e.g., in 1987 offer 1973-77 records.)

b. Files documenting the preparation of the detailed Agency budget request to Congress, including supplementary schedules, exhibits, etc. The files contain documents used in Congresstional budget presentations, providing, by years, the U.S. assistance, subdivided by major programs.

Cut off annually. Hold in office one year then retire to WNRC. Destroy 5 yrs. after cut off.

01180 c. All other copies of congressional presentations and notifications.

Destroy when no longer needed.

Project Assistance Records

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 resources, energy, private industry development, science and technology, and is administered primarily by USAID's located in host countries.

Page No.Effective DateTrans. Memo. No.AID Handbook 21-IIOctober 27, 199321-II:20

I. RECORDS COMMON TO MOST OFFICES

Development Assistance Project File

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, the successes and/or failures of the individual project.

01190 a. Original silver master microfilm and silver duplicate.

Permanent. Review automated index to project data base 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.

01200 b. Computerized index to project.

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.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-9

01210	c.	All other silver master and silver duplicates.	Destroy 2 yrs. after cut off.
01220.	d.	Bureau master diazo file.	Destroy 4 yrs. after termination of project when no longer needed, or whichever is sooner.
01230	e.	Project officer diazo working file.	Destroy upon termination of project.
01240	f.	Original paper copies of microfilm project records.	Transfer original paper records to WNRC upon verification of film. Destroy 2 yrs. after transfer.
01250	g.	Closed project files that are not microfiched.	
		1. PRE-PID documents, project paper	PERMANENT. Review
		or equivalent, core official documents and all reports.	automated index to project data base and indicate closed projects. Transfer to National Archives when 5 years old.
		2. All other records.	Destroy at time of closeout.
01260	h.	Reference copies of project documents maintained in various Agency offices.	Destroy upon termination of the project.
	<u>Proj</u>	ect Plan and Engineering Files	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

O1270 Copies of engineering plans and related material pertaining to individual projects.

Destroy in accordance with a. and b. above.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.	
	21-II:20	October 27, 1993	6A-11	

01280 <u>Technical Project Feasibility Studies</u>

Copies of studies, reports, and related correspondence pertaining to proposed projects which do not develop into in office for 1 yr, projects. (If project is approved, materials are filed in project file.)

Cut off file at end of fiscal yr. Hold

then retire to WNRC. Destroy when 5 yrs.

01300 <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.

Cut off files when closed. Destroy when 3 yrs. old.

Non-Project Assistance Records

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.

01310 <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. Cut off after loan has been fully repaid (maximum of 40 yrs.). Destroy 1 year after cutoff.

Other General Files

Schedules of Daily Activities

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and activities of Federal employees.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-13

01320 Records containing substantive a. information relating to the official activities of high-level officials, the substance of which has been incorporated into memoranda, reports, correspondence, or other records included in official AID files. High-level officials include the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy, and staff assistants to these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants. Cut off at end of calendar year. Retain in active office space. Destroy when 1 yr. old or sooner if no longer needed for reference.

01330 b. Records of other than high-level Agency employees as defined in a. above containing substantive information relating to official activities, the substance of which has <u>not</u> been incorporated into official files.

Destroy when 2 years old. (GRS 23 Item 2A)

on the daily activities of other than high-level officials as defined in a. above; records of all Federal employees containing substantive information, the substance of which has been incorporated into official files; and personal records of all Federal employees relating to nonofficial activities.

Destroy when no longer needed or when 1 yr. old, whichever is sooner. (GRS 23 Item 2C)

Research Studies Files

Social and Economic Studies files prepared by AID staff or by outside contractors (individuals or institutions), including periodic progress reports, correspondence, and final reports.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-15

01350	a.	Final reports of studies not described	Permanent. Cut off at
		elsewhere in this schedule.	end of fiscal year.
			Retire to WNRC:
			transfer to NARA in 5
			yr. blocks when most

old.

01360 b. Back-up material consisting of copies of progress reports, correspondence, etc.

Cut off after final report is submitted. Destroy 3 yrs. after cut off.

recent report is 10 yrs.

01370 c. Reference copies of reports.

Destroy when no longer needed for reference.

01380 <u>Audit Reports Files</u>

Copies of Inspector General and General Accounting Office audit reports and relating correspondence maintained by individual offices where audits occured. Destroy 1 yr. after all audit exceptions noted in reports have been resolved.

Publications File

 a. Record copies of publications 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.

01390 1) In-house publications

Permanent. Retire to WNRC when 3 yrs. old. Offer to NARA in 5 yrs. blocks when most recent record is 10 yrs old. (e.g., in 1987 offer 1973-77 records.)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

01400		2) Publications prepared under Grants and Contracts	Permanent. Retire to WNRC when 3 yrs. old. Offer to NARA in 5 yrs. blocks when most recent record is 10 yrs old. (e.g., in 1987 offer 1973-77 records.)
01410	b.	Reference copies of publications	Review annually. Destroy material when no longer needed for reference.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-17

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

II. RECORDS OF THE ADMINISTRATOR AND ASSISTANT ADMINISTRATOR

These records are maintained by or for the immediate offices of the following Agency executives: the Administrator, Deputy Administrator, Executive Secretary, Assistant Administrator, and the Directors of Offices that report directly to the Administrator.

ITEM NO. DISPOSITION

DESCRIPTION OF RECORDS

AUTHORIZED

02010 1. 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 AID program and staff activities. Arrange by subject/name/country as appropriate.

Permanent. See Chapter I, Item 01100.

02020 2. <u>Chronological Files</u>

Files consisting of extra copies of letters, memoranda, and other nontelegraphic communications media. Files are normally maintained by data of issuance and are kept, for the most part, as "easy reference" files.

See Chapter I, Item 01040.

02030 3. Schedule of Daily Activities

Records containing substantive information relating to the official activities of high-level officials, the substance of which has been incorporated into memoranda, reports, correspondence, or other records included in official AID files. High-level officials include the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy, and staff assistants to

See Chapter I, Item 01320

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-19

these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants. Page No.Effective DateTrans. Memo. No.AID Handbook 21-IIOctober 27, 199321-II:20

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

ITEM NO. DESCRIPTION OF RECORDS
DISPOSITION

AUTHORIZED

Public Inquiries Files

03010 <u>Manatory Classification Review (MCR) Files</u>

Reports and correspondence regarding

Cut off when

action is

inquiries from the public for information completed.

Hold in

in the files which was classified. This office for 2

yrs.,

review is made under POIA and the current then retire to

WNRC.

Executive Order on National Security

Destroy 30 yrs.

after

Information. completion of the action.

Freedom of Information Act (FOIA) Requests Files

Files created in response to requests for information under the Freedom of Information Act, consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of a requested record or a copy thereof.

 a. Correspondence and supporting documents (<u>EXCLUDING</u> the records requested, if filed therein)

03020 1) Granting access to all the requested Destroy 2 yrs. after

records. date of reply.

(GRS 14 Item

16 A1)

2) Responding to requests for nonexistent records, to requestors

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-21

who provide inadequate descriptions, and those who fail to pay Agency reproduction fees.

03030 a. Request <u>not</u> appealed.

Destroy 2 yrs. after date of reply. (GRS 14 Item

16 A2)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

03040			b. Request appealed.	Destroy as authorized under Item 0 3 0 8 0 b e 1 o w . (GRS 14 Item 16 A2)
		3)	Denying access to all or part of the records requested.	
03050			a) Request <u>not</u> appealed.	Destroy 6 yrs. after date of reply. (GRS 14 Item 16 A3)
03060			b) Request appealed.	Destroy as authorized under Item 0 3 0 8 0 b e 1 o w . (GRS 14 Item 16 A3)
03070	b.	Offic	cial file copy of requested records.	Dispose of i naccordance with happroved disposition instructions for the related FOIA request, whichever is later. (GRS 14 Item 16B)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-23

FOIA Appeals Files

Files created in responding to administrative appeals under the FOIA for release of information denied by the Agency, consisting of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or a copy thereof.

03080 a. after		Correspondence and supporting documents	Destroy 6 yrs.
determination		(EXCLUDING the file copy of the records	f i n a l
		under appeal if filed therein)	by Agency

ency 3 yrs. after final adjudication by courts, whichever is later. (GRS 14 Item 17A)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

03090 b. Official file copy of records under appeal.

Dispose of accordance w i t h approved disposition instructions for the related record, or the related FOIA request, whichever is later. (GRS 14 Item 17B)

FOIA Control Files

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requestor.

03100 a. Registers or listing.

Destroy 6 yrs. after date of last entry. (GRS 14 Item 18A)

03110 b. Other files. Destroy 6 yrs. after final action by the Agency or after final adjudication by courts, whichever is later. (GRS 14 Item 18B)

FOIA Reports Files

Recurring reports and one-time information requirements relating to Agency implementation of the FOIA, including annual reports to the Congress.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-25

03120 a. Annual reports originating in OPA.

Permanent.
Cut off
annually.
Hold in
office 2
years, then
retire to
WNRC.
Offer to
NARA
when 15
yrs. old.
(GRS 14
Item 19a)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

03130	b. Other reports	Destroy when 2 yrs. old or sooner if no longer needed for administrative use. (GRS 14 Item 19b)
03140	FOIA Administrative Files	
2 yrs.	Records relating to the general Agency	Destroy when
if no	implementation of the FOIA, including	old or sooner
for	notices, memoranda, routine correspondence,	longer needed
	and related records.	administrative
use.		(GRS 14 Item
20)		

News and Media Relations Files

Audio Visual Files

a. Original video tapes.

03150 Offer the	1)	Important subjects that reflect	Permanent.
earliest		the mission; for example, relating	original or
Carriege		to its overall program in a country or region; relating to controversial	generation of recording and
one		topics or having historical interest	dubbing
(reference in		such as birth control, counter-	copy) to NARA
blocks when		insurgency training, police training,	five-year

			21-II:20	October 27, 1993	6A-27
is		etc.	; relating to the history of		the oldest tape
15		spe antl by o	5. foreign relations with a cific country or region; havi hropological or ethnographic documenting the impact of the ency program on foreign soci	e value ne	10 yrs. old.
03160 no	2)	Rou	utine subjects that do not ref	lect	Destroy when
			Agency's mission, such as nagement training films, or the	iose	longer needed. (GRS 21 Item
20)		tech bric	d for training in narrow area mology such as "how to" bu lge, irrigate a field, build a d or house, maintain cattle,		

Trans. Memo. No.

pasteurize milk, etc.

Page No.

Effective Date

AID HANDBOOK 21-II

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

03170 3) Automated index.

Permanent. Transfer index on magnetic tape i n ASCII or EBCDIC format, including all necessary documentati on, t o NARA with pertinent videotapes.

b. Motion Pictures

1) Important subjects reflecting the Agency's mission; for example, relating to its overall program in a country or region; relating to controversial topics or having historical interest such as birth control, counterinsurgency training, police training, etc.; relating to the history of U.S. foreign relations with a specific country or region having anthropological or ethnographic value by documenting the impact of the Agency program on foreign societies.

Offer to

the original negative or color

blocks

original plus separate sound

track, an intermediate master
plus optical sound track, and a

sound projection print or a

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-29

video recording.

03200 Offer	c)	Agency acquired films:	Permanent.
5 year		two projection prints or one	to NARA in
the		projection print and a video	blocks when
uic		recording.	oldest film is 10 yrs.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

03210 Offer		d)	Unedited footage: the original	Permanent.
			negative or color original,	to NARA in
5 year			work print, and an intermediate	blocks when
the			work print, and an intermediate	DIOCKS WHEH
			master positive or duplicate	oldest film is
			negative if one exists, appropriately arranged, labeled, and described.	10 yrs. old.
03230 annually.	2)	Routi	ine subjects that do not	Cut off
•		reflec	et the Agency's mission.	Destroy
				when ten
				years old or when no
				longer
				needed,
				whichever
				is sooner.
				(N1-286-90-1)

c. Still Photography

1) Important subjects reflecting the Agency's mission; for example, relating to its overall program in a country or region; relating to controversial topics or having historical interest such as birth control, counterinsurgency training, police training, etc.; relating to the history of U.S. foreign relations with a specific country or region having anthropological or ethnographic value by documenting the impact of the Agency program on foreign societies.

032	40
Cut	off

a) Black & white negatives and captioned prints.

Permanent.

annually.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-31

Offer original to NARA in 5 year blocks when the most recent record is 20 yrs. old.

03250

b) Black & white contact prints

Permanent.
Cut off
annually.
Offer to
NARA with
related
negatives in
5 yr. blocks
when most
recent records are
20 yrs. old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

03260 Cut off		c) Official portraits of senior	Permanent.
Cut on		Agency officials.	annually. Offer to N A R A negatives a n d captioned prints in 5 yr. blocks when the most recent records are 20 yrs. old.
03270 annually.	2)	Routine subjects that do not	Cut off
difficulty.		reflect the Agency's mission.	Destroy when one year old or when no longer needed. (GRS 21 Item 1)
d.	Colo	or Slides (35 mm)	
03280 Cut off	1)	Important subjects reflecting	Permanent.
duplicate		the Agency's mission; for example, relating to its overall program in	annually. Offer original and
5 yr.		a country or region; relating to	to NARA in
most		controversial topics or having	blocks when
are		historical interest such as birth	recent records
		control, counterinsurgency training, police training, etc.; relating to the history of U.S. foreign relations with a specific country	20 yrs. old.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-33

or region having anthropological or ethnographic value by documenting the impact of the Agency program on foreign societies.

03290 annually.

2) Routine subjects which do not

reflect the Agency's mission.

Cut off

Destroy when one yr. old or when no longer needed, whichever is sooner.

e. Film Strips

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

03300 Cut off	1)	Important subjects reflecting	Permanent.
		the Agency's mission; for example, relating to its overall program in	annually. Offer original and
duplicate		a country or region; relating to	to NARA in
5 yr. most		controversial topics or having	blocks when
are		historical interest such as birth	recent records
		control, counterinsurgency training, police training, etc.; relating to the history of U.S. foreign relations with a specific country or region having anthropological or ethnographic value by documenting the impact of the Agency program on foreign societies.	20 yrs. old.
03310 annually.	2)	Routine subjects which do not	Cut off
umuuny.		reflect the Agency's mission.	Destroy when one year old or when no longer needed whichever is sooner.
03320 f. NARA or	Fine	ding aids including indexes,	Transfer to
	cata	llogs, shelf lists, caption sheets.	dispose of with related records. (GRS 21/63)
03330 <u>Bio</u>	graphi	cal File on Senior AID Officials	
Bac official	kgroui	nd information on top AID	Destroy when
	cials o	or other key personnel for	leaves the

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-35

	publ	ic dissemination.	when no longer needed, whichever is sooner.
03340	Publ	lic Relations Files	
Cut off	a.	Speeches, addresses, and comments.	Permanent.
		Remarks made at formal ceremonies and	annually. Hold
in		during interviews by heads of agencies	office for 5
yrs.,		or their senior assistants concerning	then retire to
WNRC.		the programs of their agencies. The	Transfer to
NARA ir	1	speeches and addresses may be presented	5 yr. blocks
when		to executives from other Federal	20 yrs. old.
(GRS 14		agencies, representatives of State or local governments, or private groups, such as college and university students, business associations, and cultural news media commentators.	item 1a)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03350 Cut off	b.	News releases. One copy of each	Permanent.
		prepared statement or announcement	annually. Hold
in		issued for distribution to the news	office for 5
yrs.,		media. News releases announce events	then retire to
WNRC.		such as the adoption of new Agency	Offer to NARA
when		program, termination of old programs,	20 yrs. old.
(GRS 14		major shifts in policy, and changes in senior Agency personnel.	Item 1b)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-37

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

IV. FOOD FOR PEACE AND VOLUNTARY ASSISTANCE (FVA) RECORDS

ITEM NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION				
	Common Type Files			
04010	FVA Grant Files			
grant is	Files pertaining to grants made under the	Cut off when		
Hold in	several FVA programs. Including are	terminated.		
yrs.,	copies of proposals; grant applications,	office for 2		
WNRC.	agreements, and amendments; project,	then retire to		
after	financial, progress, and evaluation	Destroy 6 yrs.		
grant.	reports; PIO's; and related documentation	termination of		
8	and correspondence.			
04020	Unsuccessful Grant Applications			
grant is	Copies of applications of unsuccessful	Cut off when		
in	grant applicants and related documents	awarded. Hold		
	and correspondence.	office for 2 yrs., then destroy.		
	Private and Voluntary Cooperation Files			
04030	Ocean Freight Files			
file is	These files pertain to the reimbursement	Cut off when		
in	by AID for shipping expense incurred	closed. Hold		
yrs.,	by voluntary agencies under "subvention"	office for 2		
WNRC.	arrangements. Included are copies of	then retire to		

AID HAN	DBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
		21-II:20	October 27, 1993	6A-39
after	procurement aut	horizations, Schedule		Destroy 5 yrs.
		nsportation, AID 1550 pproval letters, etc., respondence.		file is closed.
	Registered Age	ncy Files		
	voluntary agend registration con			
04040	a. <u>Case File</u>	s on Individual Agencies		Cut off when Agency is removed from registry, then retire to WNRC. Destroy 5 yrs. after removal.
04050	b. <u>Annual F</u>	inancial Submission		Cut off annually. Destroy when 3 yrs. old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

IV. FOOD FOR PEACE AND VOLUNTARY ASSISTANCE (FVA) RECORDS

04060 <u>Denied Agency Registration Files</u>

Applications and related correspondence Cut off after

denial.

pertaining to private voluntary

Destroy 3 yrs.

after

organizations' registration. denial.

Food for Peace Files

04070 <u>Title I and III Voluntary Agency Agreement Files</u>

Copies of agreements and related Cut off when

agreement

documentation pertaining to AID is terminated.

Hold

agreements with host governments under in office for

2 yrs.,

Title I and III of P.L. 480. then retire

to WNRC.
Destroy 6
yrs. after

cut-off.

Title II Bilateral Agreements

Files consisting of the original agreements between the U.S. (AID) and host governments under Title II of

P.L. 480. Arrange alphabetically by country.

04080 a. <u>Original Agreements</u> Permanent.

Retire upon termination o f agreements. Offer to NARA in accumulations of one cubic foot.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-41

04090 b. <u>Copies of Agreements</u>

Destroy when agreement is terminated.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

IV. FOOD FOR PEACE AND VOLUNTARY ASSISTANCE (FVA) RECORDS

Section 416 Agreement Files

Files consisting of the original agreements between U.S. (AID) and voluntary organizations, multilateral organizations, or foreign governments, entered into under the provisions of Section 416 of the Agricultural Act of 1949. Arranged alphabetically by country.

04100 a. <u>Original Agreements</u>

Permanent.
Retire upon termination o f agreements.
Offer to NARA in 5 yr. blocks, 5 yrs. after the most recent termination date.

04110 b. <u>Copies of Agreements</u>

Destroy when agreement is terminated.

Title II Program Files

Files arranged by country documenting all Title II program and project activity with individual host countries. Included are copies of program plans and projections, program operating and financial documents, annual estimates and requirements, project documentation, and related documents and correspondence.

04120 Cut off a. Annual estimates of requirements (AERs)

Permanent.

signed by AID and the private Agency

annually. Hold

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-43

and operational plans.

office for 2 years, then retire to WNRC. Transfer to NARA in five-year blocks when most recent records are 10 years old. Example: 1987 offer 1973-77 records.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

IV. FOOD FOR PEACE AND VOLUNTARY ASSISTANCE (FVA) RECORDS

04130 annually.	b.	All other program documentation	Cut off
for		including quarterly estimates, call	Hold in office
transfer		forward agreements, cables for	2 years, then
		shipping instructions.	to WNRC. Destroy when 6 years old.
04140	<u>Volu</u>	intary Agency Ocean Transport Files	
annually.	Files	s including copies of Letters of	Cut off
for	Com	mitment, Procurement Authorizations,	Hold in office
retire	Expe	enditure Reports, etc., and related	2 years, then
	corre	espondence. to WNRC. Destroy when 6 years old.	
04150	<u>Agri</u>	<u>cultural Commodity Files</u>	
annually.		erence copies of such documents as	Review
		modity specifications, technical ies, and general material on	Destroy when superseded,
obsolete,	agric	cultural commodities used in the	or no longer
needed.	Food	l for Peace program.	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date Page No.	
	21-II:20	October 27, 1993	6A-45

V. GEOGRAPHIC BUREAUS GENERAL RECORDS

ITEM NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION			
05010	Program Correspondence Files		
of	Subject and Country Files of Country	Cut off at end	
Hold in	Desk Offices. These files document in a	fiscal year.	
years,	unique way the operations in U.S.AIDs	office for 2	
WNRC.	and reflect their problems and accomplish-	then retire to	
10 years	ments. Arranged by subject and country	Destroy when	
J	as appropriate. old.		
05020	General Financial Files		
at end	Working files pertaining to financial	Cut off files	
Hold	management functions of the several	of fiscal year.	
3 years,	geographic areas covering materials	in office for	
	relating to annual budget submissions, budget expenses, funding limits, background justification and expenses, monthly operating expenses, etc. Files containing such forms as: copies of Request for Budget Allowance, annual Budget Submissions, Request for Operational Year Budget Change, Project Implementation, and Advice of Budget Allowances. Files are used to control expenditures of funds.	then destroy.	
05030	Congressional Notification and Congressional Presentation File		
end of	Working files containing information needed	Close file at	
0110 01	for presentation of the Bureaus' annual	fiscal year.	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Hold in

program and budget to Congress and any office for 1

year,

changes to the program that require then retire to

WNRC.

congressional notification. They contain Destroy when

6 years

information on operational year budget changes, congressional notifications, program revision requests, guidelines for preparation of congressional notification, advice of program change, and monthly project accounting information system reports. old.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-47

V. GEOGRAPHIC BUREAUS GENERAL RECORDS

<u>Country Development Strategy Statement (CDSS)</u> <u>File</u>

Formal statements on each country's foreign aid assistance program submitted by U.S.AIDs annually. These statements are printed and bound and distributed to appropriate office throughout the Agency.

	appropriate office throughout the Agency.	
05040 Cut off	a. Record copies maintained in Geographic	Permanent.
in	Bureaus arranged by country and	annually. Hold
	thereunder chronologically.	office for 3 years, then retire to W N R C. Transfer to NARA in 5 yr. blocks when most r e c e n t record is 10 yrs. old.
05050	b. Copies used for reference.	Destroy when no longer needed for reference.
	Briefing Files	
05060 Cut files	Files consisting of reports prepared	Permanent.
Hold in	by AID staff members for AID	off annually.
yrs.,	officials anticipating visits to	office for 3
WNRC.	countries where AID has a mission.	then retire to
NARA in	These reports contain pertinent	Transfer to

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

information on the country to be visited

5 year blocks

when

and the current AID assistance program

most recent

records

in the country. are 10 years old, e.g., in 1987 offer 1973-77 records.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date Page No.	
	21-II:20	October 27, 1993	6A-49

VI. LEGISLATIVE AND LEGAL AFFAIRS RECORDS

ITEM NO DISPOS	-	DESCRIPTION OF RECORDS	AUIHORIZED
	Con	gressional Correspondence Files	
	men Adn Dire Arra	respondence between the Agency and others of Congress and signed by the ministrator, his Deputy, or the actor of Legislative Affairs. Inged alphabetically by the name of Congressional member.	
06010 end of	a.	Papers containing policy and precedent	Cut off at the
Hold		and requiring research which documents	each Congress.
11014		relations with Congress.	in office for 3 yrs., then

			3 yrs., then retire to WNRC. Destroy when 10 yrs. old.
06020	h	All other routine correspondence	Cutoff

06020	b.	All other routine correspondence.	Cut off
annually.			

Destro	y
when	2
years old.	

06030	Corresponde	<u>ence Brief</u>

Destroy when

no longer
of Congress prepared by the Office

of Congress prepared by the Office of needed for

reference.

Legislative Affairs.

06040 <u>Committee Prints and Hearing Records</u>

Copies of printed committee reports and Destroy when

no longer

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

reference	Congressional hearings.	needed for
06050	Litigation and Enforcement Case Files	
when cas	Case files containing documents containing	Cut off file
in	information on all dispute matters where	is closed. Hold
	AID is involved, such as contract	office for 1
year, WNRC.	disputes, civil or criminal litigation,	then retire to
	etc. Files also containing legal	Destroy 10
years aft	information in the form of advice furnished to the Inspector General's office in the conduct of their investigations.	case is closed.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-51

VI. LEGISLATIVE AND LEGAL AFFAIRS RECORDS

Legal Opinions and Decisions Files

Files of legal opinions on law and Executive Orders as a result of requests from AID offices on any matter requiring interpretation of Federal or other law. Files include requests for advice, formal legal opinion and decisions, and related correspondence.

06060 a. (Inginal n	aper copies	microfilmed	1.

Destroy original paper records a f ter verification of film.

06070 b. Original silver master & duplicate.

Permanent. Transfer to NARA in 5 yr. blocks when most r e c e n t record is 20 yrs. old.

06080 c. Original paper copies not microfilmed.

Permanent.
Offer to
NARA in 5
year blocks
when most
r e c e n t
record is 30
years old.

Financial Disclosure Reports

a. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978 (P.L. 95-521).

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

06090 after	1)	Records including SF 278A for	Destroy 1 yr.
to be		individuals filing according to	nominee ceases
consideration		Section 201b of the Act and not	u n d e r
appointments,		subsequently confirmed by the	f o r
		Senate.	EXCEPT t h a t documents needed in an o n g o i n g investigatio n w i l l r e t a i n e d until the investigatio n i s completed.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-53

VI. LEGISLATIVE AND LEGAL AFFAIRS RECORDS

06100 2) All other records including SF 278. Destroy when 6 yrs. old, EXCEPT t h a t documents needed in an ongoing investigatio n will be retained until the investigatio i s completed.

All other statements of employment 06110 b.

6 yrs.

and interests and related records,

that

including confidential statements

needed in an

filed under Executive Order 11222.

Destroy when

old EXCEPT

documents

ongoing investigatio n will be retained until the investigatio i s completed.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

VII. PRIVATE ENTERPRISE (PRE) RECORDS

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

office for 2

PRE Project Files

Files consisting of documentation pertaining to the management of grants, contracts, loans, and cooperative agreements between AID and the U.S. private sector. Files include, but are not limited to, copies of proposals, applications, project authorizations, loan and grant agreements, contracts, interim project progress reports, PIO's etc., and related correspondence.

	auth cont	orizations, loan and grant agreements, racts, interim project progress reports, s etc., and related correspondence.	
07010 Cut off at project.	a.	Published or unpublished reports (exclusive of interim project progress	Permanent.
WNRC.		reports), project concept papers, and	Retire to
		any other final project product.	Transfer to NARA in 5 yr. blocks when most r e c e n t records are 10 yrs. old, (e.g., in 1987 offer 1 9 7 3 - 7 7 records.)
07020	b.	All other project records.	Cut off when project is completed or loan is paid, as applicable. Hold in

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-55

years, then retire to W N R C. Destroy 6 yrs. after completion of project. 07030 Status Reports on Loans Cut off Reports on private sector initiative annually. loans showing disbursements, payments Destroy when 1 year progress, etc., on status of outstanding old. loans.

Page No.Effective DateTrans. Memo. No.AID Handbook 21-IIOctober 27, 199321-II:20

VII. PRIVATE ENTERPRISE (PRE) RECORDS

07040 Unsuccessful Investment Opportunity Proposals

Proposals from businesses which do not

Cut off when

withdrawn

result in a loan. or denied. Hold in office for 2 years, then destroy.

07050 <u>Company Correspondence Files</u>

General correspondence between AID

Cut off

annually.

and enterprises in the private sector

Hold in office

for

on all aspects of the AID program

2 years, the

destroy.

for encouraging the participation of the U.S. private sector in financial transactions which can accelerate the development process overseas.

Housing and Urban Development Project Files

Case files on housing construction under the AID Housing Guaranty Program (HG). Files include, but are not limited to, guarantee and loan agreements, implementation agreements, cost schedules, progress reports, inspection and evaluation reports, and related documents and correspondence.

07060 a. Basic contractural documents and loan is

Cut off when

related materials.

paid. Hold in office for 3 yrs., then destroy.

07070 b. Inspection reports on housing construction.

construction is sompleted. Hold in office for 3

Cut off when

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-57

yrs., then destroy.

07080 c. General Correspondence.

Destroy when 2 yrs. old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

VII. PRIVATE ENTERPRISE (PRE) RECORDS

07090 <u>Studies and Reports on Shelter Activities</u>

and Housing Guaranty Programs

Studies and reports on various aspects Permanent.

Cut off

on the AID worldwide shelter sector annually. Then

retire

activities, including the Housing Guaranty to WNRC.

Transfer to

Program. Arranged by subject. NARA in 5

yr. blocks when most r e c e n t record is 10 yrs. old.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-59

VIII. PROGRAM AND POLICY COORDINATION RECORDS

ITEM NO. DISPOSITION	DESCRIPTION OF RECORDS	AUTHORIZED
<u>Don</u>	or Coordination Files	
08010 <u>Inter</u>	rnational Organizations Files	
a. Cut off	Correspondence, reports, agendas,	Permanent.
in	and minutes of meetings of consultative	annually. Hold
years	groups and subsidiary and affiliated	office for 3
then	organizations regarding development	after cutoff,
WNRC. Offer	assistance and AID liaison with	retire to
WINKC. OHCI	such organizations.	to NARA in 5 yr. blocks, when most r e c e n t record is 10 yrs. old. (e.g., in 1987 offer 1973-77 records.)
08020 b. after	Working papers for conference sessions	Destroy 1 year
conference.	such as delegate lists, admission cards and badges, correspondence on arrangements, and duty schedules.	date of
08030 c. Cut off in	Files regarding programs of the UN and its affiliated organizations, which show a relation to cooperating countries and AID liaison.	Permanent. annually. Hold office for 3 yrs. after cutoff, then retire

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

to WNRC. Offer to NARA in 5 yr. blocks, when most record is 10 yrs. old. (e.g., in 1987 offer 1973-77 records.)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-61

VIII. PROGRAM AND POLICY COORDINATION RECORDS

08040	d.	Reports of international conferences	Permanent.
in		attended providing the Administrator	Cut off annually. Hold
years		with a brief report of the conference	office for 3
years		or meeting. after cutoff, then retire to WNRC. Offer to NARA in 5 yr most recent record is 10 yrs. old. (e.g., in 1987 offer 1973)	
08050 Cut off	e.	Development Assistance Coordination	Permanent.
in		(DAC) donor files, consisting of	annually. Hold
		correspondence and other documents	office for 3
years		relating to specific donors, bilateral	after cutoff,
WNRC.		relations between AID and others,	retire to
in 5 yr.		and information on various donor	Offer to NARA
m 3 yr.		programs. blocks, when most recent record is 10 yrs. old. (e.g., 1973-77 records.)	in 1987 offer
08060		onal Advisory Council on International netary and Financial Policies Files	
	Files	s accumulated by AID documenting	Cut off
annually.	the a	activities of the Council, chaired by	Hold in office
for	the 7	Treasury Department, and its periodic	3 yrs. after
cutoff,	meet	tings. then retire to WNRC. Destroy when 10 yrs. old.	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

VIII. PROGRAM AND POLICY COORDINATION RECORDS

08070 <u>Multilateral Development Banks Files</u>

Files documenting AID's relations Permanent.

Cut off

with multilateral development banks, annually. Hold

in

such as the World Bank, International office for 3 yrs.

Development Bank, etc., consisting of after cutoff,

Development Bank, etc., consisting of then

minutes of meetings, bank policy retire to

WNRC. Offer

statements, and related correspondence. to NARA in

5 yr. blocks, when most r e c e n t record is 20 yrs. old. (e.g., in 1987 offer 1 9 6 3 - 6 7 records.)

Program Evaluation Files

Correspondence, reports, special studies, and other records pertaining to Agency evaluative research, socioeconomic impact assessments, and program evaluation development issues and AID programs.

08080 a. Cut off	Fii	nal products on this series:	Permanent.
•			annually. Hold
in	o	Impact Evaluation Reports,	office for 3
years			after cutoff,
then			arter eutori,
WNDC Off	0	Discussion Papers,	retire to
WNRC. Offe	r		to NARA in
5 year	0	Special Studies,	blocks when
	О	Special Studies,	DIOCKS WHEII

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-63

most		recent record
is offer	o Program Evaluation Reports, and	20 years old. (e.g., in 1987
records.)	o Program Design and Evaluation	1963-67
	Methods Files.	
08090 b. annually.	Background files and related	Cut off
·	correspondence.	Hold in office for 3 years, then retire to WNRC. Destroy when 6 years old.

Page No.Effective DateTrans. Memo. No.AID Handbook 21-IIOctober 27, 199321-II:20

VIII. PROGRAM AND POLICY COORDINATION RECORDS

08100	Project Evaluation Summaries (PES) Files	
Cut off	Files pertaining to in-depth studies and	Permanent.
Cut off	analyses of the social and economic	annually. Hold
in	impact of alternative types of strategies,	office for 3
years	programs and projects on the lives of	after cut off,
then	foreign assistance beneficiaries.	retire to
WNRC.	Offer Included are copies of studies and	to NARA in
5 year	analyses and related correspondence.	blocks when
most	These files are not duplicated in the	recent record
is	Impact Evaluation records (Item 08080 above).	20 years o 1 d . (e.g., in 1987, offer 1963-67
		1963-67 records.)

Budget Files

Agency Budget Files

See <u>Budget Records</u> of <u>Chapter I.</u> (01130-01150) <u>Records Common to Most Offices</u>

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.	
	21-II:20	October 27, 1993	6A-65	

IX. SCIENCE ADVISOR RECORDS

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

Grant Application Files

Applications, memoranda, correspondence, and other records relating to the decision to accept or reject grant proposals.

09010 a. Unsuccessful (rejected or withdrawn) applications.

Destroy 3 yrs. a f t e r rejection or withdrawal.

09020 b. Accepted applications.

Dispose of with related grant case file (see I tems 09030-090 40 below).

Grant Case Files

Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status, and monitoring of grants; allocation of funds; and project budgets.

09030 Cut off a. Project reports and studies produced

under the grant.

Permanent.

files when closed. Hold in office for 2 yrs., then retire to WNRC. Transfer to

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

NARA in 5 yr. blocks when most recent trecord is 20 yrs. old.

09040 b. All other documentation related when

to the grant.

Cut off files

case is closed. Hold in office for 2 yrs., then retire to WNRC. Destroy when 6 yrs. old.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-67

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

S&T Project Files

10010

These files consist of documentation pertaining to the management of grants, contracts, and cooperative agreements of centrally funded projects. Files include, but are not limited to, copies of proposals, applications, agreements, contracts, interim progress reports, PIO/T's, project papers, published and unpublished reports, and other documents and correspondence pertinent to the project.

10010 Cut off at	a.	Project papers and published or	Permanent.
		unpublished reports (exclusive of	close of
project. in 5 yr.		interimproject progress reports),	Offer to NARA
·		books, studies, or any other final	blocks when
most		product. recent record is 10 yrs. old. (e.g., in 1987, offer 1973-77	7 records.)

10020 b. All other project records. C u t o f f

w h e n project is terminated. Hold in office for 2 yrs., then retire to W N R C. Destroy 6 yrs. after termination of project.

10030 c. Closed project records stored in WNRC.

Permanent.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Offer all project records to NARA. Those not accessioned, destroy immediately.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-69

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

<u>Unsolicited Project Proposals</u>

10040	a. Successful proposals	File in applicable project files and apply authorized disposition as indicated in Item 10020 above.
10050	b. Unsuccessful proposals	Cut off when project is awarded. Hold in office for 2 yrs., then destroy.
10060	Memoranda of Understanding (MOU) Files	
MOU is	Copies of signed MOU's with universities	Cut off when
Hold in	regarding the scope of work to be performed by institutions under AID	cancelled or superseded.
	strengthening grants and contracts.	office for 2
yrs.,	Included in related correspondence.	then retire to WNRC. Destroy 6 yrs. after termination of related project.
10070	Sector Council Files	
Cut off	Files pertaining to the activities of	Permanent.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

in	several AID councils or committees	annually. Hold
in	composed of appropriate AID staff	office for 3
yrs.,	members to advise the Agency in the	then retire to
WNRC.	various areas (sectors) of AID	Transfer to
NARA w		
	development assistance to host countries.	most recent
record is		
	Included are meeting agendas, minutes of meetings, copies of papers prepared by	10 yrs. old.
	the councils, and related records and correspondence. Arranged chronologically	
	within sector councils.	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date Page No.	
	21-II:20	October 27, 1993	6A-71

10080	International Organizations Files				
Cut off	These files consist of correspondence,	Permanent.			
Cut off	reports, and records of meetings and	annually. Hold			
in	conferences pertaining to AID interest	office for 3			
yrs.,	in the organization, planning, and	then retire to			
WNRC.	operations of international organizations	Offer to NARA			
in 5 yr.	(such as the Consultative Group on	blocks when			
most .	International Agricultural Research	recent record			
is	(CGIAR) in AID areas of concern. Arranged by organization and thereunder	10 yrs. old. (e.g., in 1987			
offer	chronologically. 1973-77 records.)				
	Research Advisory Committee (RAC) Files				
	Documentation accumulated by the Office of Research and University Relations (RUR) in its capacity as the Secretariat for the RAC.				
10090	a. Meetings records consisting of	Permanent.			
Hold in yrs.,	agendas, minutes of meetings, and	office for 3			
	related documentation on RAC meetings.	then retire to			
WNRC.	Arranged chronologically.	Transfer to NARA in 5 yr. blocks when most recent is 10 yrs. old. (e.g., in 1987 offer			

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

			1973-77 records.)
10100	b.	Members files, consisting of general material on the individual RAC members.	Destroy when superseded, obsolete, or no longer needed.
10110 annually.	c.	Administrative files documenting	Cut off file
•		the routine housekeeping functions	Hold in office
for 2 destroy		supporting RAC activities.	yrs. then

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-73

Joint Career Corps (JCC) Files

Files consist of correspondence and other records pertaining to the recruitment of members into the JCC and AID negotiations with universities on matters relating to the Corps activities.

10120 a. Agreements with universities.

Cut off when agreements are terminated. Hold in office for 3 yrs., then destroy.

10130 b. JCC member biographical data file.

Cut off when member is separated from Corps. Hold in office for 1 yr. after separation, then destroy.

10140 c. Correspondence and other general records.

Cut off annually. Hold in office for 3 yrs., then destroy.

Resource Support Services Agreement Files

These files pertain to the agreement between AID and the National Science Foundation for the latter Agency to

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

review AID research projects for scientific soundness before actual commitment. Included are correspondence, reports, and other documentation relating to the National Science Foundation's involvement in AID project research activity.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-75

10150 a. Reports

Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 yr. blocks when most recent document is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.)

10160 b. All other documentation.

Cut off annually. Hold in office 3 yrs., then retire to WNRC. Destroy when 10 yrs. old.

International Training Program Files

These files consist of documentation pertaining to the development, management and implementation of the IT Program.

10170 a. Substantive policy, planning,
Cut off
program and evaluation material
in
documenting criteria for participant

Permanent.

annually. Hold

office 3 yrs.

then

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

WNRC. Offer	selection and processing; preparation	retire to
	and use of PIO/P's; training policies	to NARA in
5 yr.	within the US and host countries	blocks when
most	administration of technical service	recent record
is	contracts; selection of training sites and predeparture briefing,	10 yrs. old. (N C
1-286-76-3)/(T		
7, 9, 9-1,	post facility and orientation and	TRG 2, 2-2,
12-1)	relationship with training	9-2, 11, 12,
12 1)	organization.	
10180 b. annually.	Routine administrative and	Cut off
2 yrs.	evaluative correspondence	Hold in office
WNRC.	regarding any phase of participant	then retire to
WINKC.	training program.	Destroy when 5 yrs. old. (NC 1-286-76-3)/ (TRG; TRG 8-1, 9, 11-2, 12b)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-77

10190	c.	Record copy of training aids	Permanent.
Cut off		developed by the Agency.	annually. Hold in office 3 yrs. Retire to W N R C, offer to NARA in 5 yr. blocks when most r e c e n t record is 10 yrs. old. (e.g., in 1987, offer 1 9 7 3 - 7 7 records.) (N C 1-286-76-3)
10200	d.	Reports, directories and studies	Permanent.
Cut off in		to evaluate effectiveness of	annually. Hold
		training methods and techniques	office for 3
yrs., WNRC.		in specific fields of activity,	then retire to
in		country, or overall participant	Offer to NARA
		training program.	5 yr. blocks when latest record is 10 yrs. old. (N C 1-286-76-3 /(TRG 6)
10210	e.	Records pertaining to third	Permanent.
Cut off in		country training which includes	annually. Hold

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

agreements, correspondence, and

office 3 yrs.

then

reports. retire to WNRC. Offer to NARA in 5 yr. blocks when most recent record is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.) (NC 1-286-76-3)/

(TRG 2-2)

10220 All other copies. Destroy when obsolete.

(TRG 12-2,

13)

Participant trainee case files, containing PIO/P's biodata, call forward, notice of arrival, course records, reports, commendations/certificates, filed by PIO/P number:

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-79

10230 in	a.	Selected one file for each training field; e.g., agriculture, education,	Cut off after closeout. Hold
m		health, etc. office 2 yrs. then retire to WNRC. Destroy 20 yrs. afte 1-286-76-3)/(TRG (a)	r cutoff. (NC
10240 case is	b.	Files for all V.I.P.'s and	Cut off when
case is		potential professional leaders.	closed. Hold in office 2 yrs. then retire to WNRC. Destroy 20 yrs. after cutoff.
10250 in	c.	Files for all outstanding participants whose achievements	Cut off after closeout. Hold
then		are an asset to their country	office 2 yrs.
WNRC.		and a testimony to the success	retire to
WINE.		of AID programs.	Destroy 20 yrs. after closeout.
10260	d.	All other records.	Cut off after close out. Hold in office 2 yrs. then retire to WNRC. Destroy 5 yrs. after cut off. (NC 1-286-76-3)/(TRG e)
10270 Cut off	Print	touts containing summary data	Permanent.
Cut OII	for e	each trainee or training project.	annually.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Hold in office for 3 yrs., then retire to $W\ N\ R\ C$. Offer to NARA in 5 year blocks when latest record is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.) (N C 1-286-76-3)/(TRG)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-81

10280 transfer	Card files and other summary data	Dest	roy u	pon
computer	for each trainee or training project	of d	lata	to
-	(except computer tapes and printouts and reports described elsewhere in -3)/(TRG) this schedule.)	tapes (s. N	C
10290 Cut off	Copies of participating agency	Pern	nane	nt.
in	service agreements and conformed	annua	ally. I	Hold
yrs.,	copies of contracts with colleges	office for 2		
WNRC.	and universities or professional	then	retir	e to
5 yrs.	societies that serve to document	Destr	oy w	hen
	arrangement for participant training.	old. 1-28)/ (TRO	86-76	
10300 Cut off	Participant English Testing and	Pern	nane	nt.
in	Training Report, Report Control	annua	ally. I	Hold
then	Symbol U-1380/7, or equivalent,	office	for 3	yrs.
WNRC.	summarizing all English language Offer	reti	ire	to
5 yr blocl	testing and training activities	to N.	ARA	in
record is	carried on for participants by or	whe	n lat	est
	under the direction of the Mission.	10 y (e.g 1987 1 9 7 reco NC 1 6-3)	, 7 of 73- ord 1-28	in fer 77 s.)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

		(TRG 11-1)
10310	"Returned Participants Follow-up	Permanent.
Cut off in	Activities," annual report No. U-418,	annually. Hold
	or equivalent, containing a summary	office for 3
yrs., WNRC.	of all significant followup activities	then retire to
in 5 yr.	carried out during the reporting	Offer to NARA
1-286-76	period on returned participants.	blocks when latest record is 10 yrs. old. (N C
10320	Monthly Returned Participant	Cut off
annually.	Follow-up Data, Report Control	Maintain in 1 yr. then destroy. (N C 1-286-76-3)/ (TRG 8)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-83

Participant Training Directories, newsletters and other issuances prepared for use of participants, SER/IT, and other AID staff:

10330	a.	Record copy.	Permanent. Cut off annually. Hold in office 2 yrs. then retire to WNRC. Offer to NARA in 5 yr. blocks when latest record is 10 yrs. old. (e.g., in 1987 offer 1973-77) (NC
1-286-76	5-3)/		(TRG 10a)
10331	b.	Distributed copies.	Destroy when obsolete. (NC
1-286-76	5-3)/		(TRG 10b)
10340 annually.	_	ort on contracts, made by	Cut off
office		n leaders or managers of	Maintain in
retire to	parti	cipant groups concerning	2 yrs. then
	indu	stries or agencies visited.	WNRC. Destroy when 5 yrs. old. (NC

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

1-286-76-3)/

(TRG 7)

10350 Case files for individual facilities,

Review

annually. Cut

arranged alphabetically by name of

off closed case

files.

facility, field of activity, or

Hold in office

2 yrs.

location. then retire to WNRC. Destroy when 20 yrs. old. (NC 1-286-76-3)/

(TRG 7)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-85

<u>Travel and Interpreter Services</u>:

10360 a. Cut off	Files regarding participant	Permanent.
in	and dependent travel purchases,	annually. Hold
yrs.,	ownership and operation of	office for 3
WNRC.	automobiles, interpreter services,	then retire to
in 5 yr.	insurance, waiver of visa	Offer to NARA
latest	requirements, and handling of	blocks when
	illness and death cases.	record is 10 yrs. old.
1-286-76-3)/		(TRG 9-3)
10370 b. Cut off	Interpreter services, policy	Permanent.
	and procedures files.	annually. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 yr. blocks when latest record is 10 yrs. old. (NC 1-286-76-3)/ (TRG 9-3)
10380 c. annually. Cut	Case files containing copies	Review
amidany. Cut	of contracts and bio-data of	off closed files.
	individual interpreters.	Hold in

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

		office 2 yrs. then retire to WNRC. Destroy 5 yrs. after completion o f assignment or upon termination o f participant training program. (NC 1-286-7 6 - 3)/(TRG 9-3)
10390 d. files.	Case files containing letters	Cut off closed
after	of assignment, vouchers, and	Destroy 1 yr.
	payroll information for individual	completion of
assign-	interpreters.	ment.
1-286-76-3)/		(TRG 9-3)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-87

Training Conference Materials:

10400 annually.	a.	Papers regarding conferences	Cut off
2 yrs.		attended by participants in	Destroy when
1-286-76	5-3)/	connection with training programs,	old. (NC
	- /-	indicating number in attendance, dates, places, and itineraries.	(TRG 3)
10410 annually.	b.	Material describing training	Cut off
2 yrs.		courses available to participants,	Hold in office
2 y13.		including prospectuses.	then retire to WNRC. Destroy when 5 yrs. old. (NC 1-286-76-3)/ (TRG 4)
10420 annually.	Corr	respondence and related material	Cut off
2 yrs.	rega	rding methods of assure continuing	Hold in office
WNRC.	cont	act with participants after	then retire to
20 yrs.	train	ing to develop maximum potential	Destroy when
20 y13.	of in	ndividual participants.	old. (NC 1-286-76-3)/ (TRG 8)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XI. FOREIGN DISASTER ASSISTANCE RECORDS

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

11010 Administrative Files

This series documents the daily

Cut off file at

the

administrative needs and functions end of the fiscal

of the office. The series consist y e a r o f

creation.

of files covering such subject matter

Hold in active

office

as: general administrative matters, space for 1 yr.

after

budget planning and approvals, funds cutoff, then

retire to

accounting and general audit WNRC.

Destroy when

instructions, routine housekeeping 3 yrs. old. and office supply needs, personnel (N C

1-286-82-1)

related information, procurement and contracting instructions and travel guidance. The files contain incoming and outgoing correspondence (letters, memos, cables, etc.), notices, forms, reports, etc. Document classification and file maintenance is in accord with AID Handbook 21, Part II. The file media is paper.

This office is not considered to be the office of record for any of the subject matter contained in this series. The files are of short term usage with the greatest use being within three months of filing. Some periodic reference, usually once or twice annually, is made to the previous years files - rarely is reference made beyond the second year.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-89

XI. FOREIGN DISASTER ASSISTANCE RECORDS

11020	Program Files	
Cut off at	This series consists of technical	Permanent.
	subjects. Files contain documents	the end of the
fiscal	relating to disaster assistance in	year of
creation.	cooperating countries that coordinate	Hold in active
office	with international organizations,	space for 2 yrs.
after	U.S. voluntary agencies, and U.S.	cutoff. Retire
to	private sector; correspondence consists	WNRC. Offer
to NARA	of incoming and outgoing cables,	when 10 yrs.
old in	reports, letters, memos, notices, etc.	5 yr. blocks.
1-286-82	-1)	(N C
	,	
11030	Policy Files	
	Policy Files This series consist of letters, memos,	Permanent.
Cut off at	Policy Files This series consist of letters, memos,	Permanent. the end of fiscal
Cut off at	Policy Files This series consist of letters, memos,	
Cut off at	Policy Files This series consist of letters, memos, directives, etc., on OFDA's policies on natural disasters. Includes congressional guidelines, GC rulings, etc.	the end of fiscal

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Foreign Disaster Assistance Project Files

11040 a.	Documentation relating to disaster	Permanent.
Cut off at		
	assistance in cooperating countries.	close of
disaster.		
	Records consist of such documents as	Hold 2 yrs. then
	disaster declarations, requests for	retire to
WNRC.		
	assistance, newspaper clippings, news	Transfer to
NARA in		
	bulletins, project implementation	5 yr. blocks
when most		
	orders (PIO/C's PIO/T's), contracts	recent record
is		
	situation and other reports, and	10 yrs. old.
	correspondence (letters, memos, cables)	(N C
1-286-82-1)		
	on disasters that coordinate with	
	international organizations, U.S.	
	voluntary agencies and the U.S.	
	private sector.	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-91

XI. FOREIGN DISASTER ASSISTANCE RECORDS

11050 close	b.	Undeclared disasters occur when	Cut off at the
Hold	"disaster" situations exist but are		of disaster.
		not officially recognized as	2 yrs. then
retire to	_	disasters by the American ambassador	WNRC.
Destroy 5	o yrs.	to the cooperating country.	after cutoff.
1-286-82	2-1)	Undeclared disaster files contain	(N C
		documents relating to other agency assistance in cooperating countries.	
		The files consists of cables, letters, memos, and reports.	
	Non	-Record Material	
		series consists of Technical Reference erial and Reference Material.	
11060 obsolete	a.	Technical Reference material would	Destroy when
obsolete		be documents such as maps, drafts, library, and museum publications, etc.	or has been superseded. (N C
1-286-82	2-1)		
11070 no longer	b.	Reference Material would be documents	Destroy when
1-286-82		such as obsolete directives, extra copies, chron copies, manual orders,	needed. (N C
1 200 02	/	notices, reading file, suspense files, routing slips, etc.	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XII. ADVISORY COMMITTEE ON VOLUNTARY FOREIGN AID RECORDS

ITEM NO DISPOSI		AUTHORIZED
12010	Committee Meeting Files	
Cut off	General correspondence, copies of	Permanent.
in	meeting agendas, minutes, and other	annually. Hold
yrs.,	documentation pertaining to the	office for 3
WNRC.	proceedings of the individual meeting. Arranged chronologically.	then retire to Offer to NARA
in 5 yr.	(1 cu. ft. per year)	blocks when most recent record is 10 yrs. old. (e.g., in 1987 offer 1973-77)
12020	Files on Individual Committee Members	
when	Copies of resumes, travel records, and	Cut off files
, nen	other pertinent administrative records.	membership i s terminated. Hold in office for 1 yr., then destroy.
12030	Contract Files on Meetings	
	Administrative copies of contracts on the individual meetings (4 per year).	Cut off files annually. Hold in office for 1 yr., then

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-93

destroy.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

$\underline{XIII.~BOARD~FOR~INTERNATIONAL~FOOD~AND~AGRICULTURAL~DEVELOPMENT~(BIFAD)}\\RECORDS$

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

Meeting Files

Files consisting of such records as notices to the Federal Register, agendas and minutes of meetings, dicussion papers, transcripts of proceedings, and related correspondence.

		rs, transcripts of proceedings, related correspondence.	
13010 Cut off	a.	Board for International Food and	Permanent.
in		Agricultural Development (composed	annually. Hold
yrs.,		of 7 Board members from the private	office for 3
		sector) meetings files.	then retire to WNRC. Offer to NARA in 5 yr. blocks when latest record is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.)
13020 Cut off	b.	Joint Committee on Agricultural	Permanent.
in yrs., WNRC.		Research and Development (JCARD)	annually. Hold
		meeting files. JCARD is composed	office for 3
		of 20 members and is a subcommittee	then retire to
		of the Board.	Offer to NARA in 5 yr. blocks

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-95

when latest record is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.)

13030 c. Bi-annual charters for the board,

Permanent.

Cut off

correspondence relating to the

f i l e s

bi-annually.

charters and amendments to the

Hold in office

for

charter. 3 yrs. Offer to NARA in accumulations of one cubic foot.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XIII. BOARD FOR INTERNATIONAL FOOD AND AGRICULTURAL DEVELOPMENT (BIFAD) RECORDS

13040 <u>Agricultural Projects Case Files</u>

Documents accumulated in the initial Cut off when

BIFAD

development of agricultural projects has completed

its

under grants with universities. work on initial

The official project files on these project t

negotiations.

projects are maintained by the Destroy 3 yrs.

after

Geographic Bureaus. cut off.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-97

This section lists records of the organization, functional management, and emergency planning of the Agency; administration coordination and relations with other Federal agencies and with cooperative service type organizations of host governments. It also includes paperwork and other management systems and programs records.

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

Formal Directives, distributed as orders, circulars, or in loose-leaf manual form announcing major changes in the Agency's policies and procedures.

14010	a.	Issuances related to Agency program
Cut off		

Permanent.

functions. files annually. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 yrs. blocks when 20 yrs. old (e.g., offer 1970-74 block in 1995). (GRS 16/1.a)

14020	b.	Case files related to (a) above
		which document important aspects of
Item		

Cut off files annually. See

the development of the issuance.

1 4 0 1 0 a b o v e . (GRS 16/1. b)

14030 c. Issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

Destroy when superseded or obsolete. (GRS 16/1.

14040 d. Case files related to a. and c. above, which document routine aspects of development of the issuance.

Destroy when issuance is destroyed. (GRS 16/1.

d)

c)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Publications

Pamphlets, reports, leaflets, file manuals, or other published or processed documents, or the last manuscript report if not published, relating to management projects.

14050 See	a.	Record copy with the supporting papers	Permanent.
Sec		which document the inception, scope and purpose of the project.	Chapter 1 I t e m s
01390-01	410.		
14060	b.	Working papers and background materials.	Destroy when 1 yr. old. (GRS 16/2.6)

Records Disposition Files

Descriptive inventories, disposal authorizations, schedules, and reports.

14070 a. related	Basic documentation of records	Destroy when
destroyed,	description and disposition programs,	records are
longer	including SF 115, Request for Records	or when no
whichever is	Disposition Authority; SF 135, Records	needed,
	Transmittal and Receipt, and related documentation.	sooner.
14080 b. no longer	Extra copies and routine correspondence	Destroy when
reference.	and memoranda.	needed for
14090 c.	Working papers and background material.	See item 14180 of t h i s schedule.

AID HANDBOO	K 21-II	Trans. Memo. No.	Effective Date	Page No.
		21-II:20	October 27, 1993	6A-99
_				(GRS 16/11)
<u>Forn</u>	ns Files			
14100 a. related	One recor	d copy of each form created		Cut off when
discontinued,	by an age	ncy with related instructions		form is
		mentation showing inception, d purpose of the form.		superseded or cancelled. Destroy 5 yrs. after related form is s discontinued, superseded, or cancelled. (GRS 16/4.

a)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

14110 b. Working papers, background materials, related

Destroy when

requisitions, specifications, pro-

form is

cessing data, and control records.

superseded, cancelled. (GRS 16/4.

6)

14120 **Management Improvement Reports**

Copies of reports submitted to the

Permanent.

Cut off

discontinued,

Office of Management and Budget and

files annually.

Hold

related analyses and feeder reports.

in office for 3 yrs. then retire WNRC. Offer to NARA in 5 yr. blocks w h e n 20 yrs. old. (e.g., in 1987 offer 1963-67 records.)

Records Holdings Files

Statistical reports of Agency holdings including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.

14130 Records held by the office which a.

Cut off

annually.

Destroy when

prepares reports on Agency-wide

3 yrs.

records holdings.

old. (GRS

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-101

16/6.a)			
14140	b.	Records held by other offices.	Destroy when 1 yr. old. (GRS 16/6.b)
14150	<u>Proj</u>	ect Control Files	
C.	Mer	moranda, reports, and other records	Destroy 1 year
after which the		umenting assignments, progress, and	the year in
winen tik		apletion of projects.	project is closed. (GRS 16/7)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

14160	Reports Control Files	
report is	Case files maintained for each Agency	Cut off when
Destroy	report created or proposed, including	discontinued.
discon-	public use reports. Included are clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation,	2 yrs. after the reports are tinued. (GRS
	revision, and discontinuance of reporting requirements.	
14170	Working Papers	
	Project background records, such as	Cut off
annually.		
annually.	studies, analyses, notes, drafts,	Destroy 6
annually.	· · · · · · · · · · · · · · · · · · ·	Destroy 6 final action on project report or 3 yrs. after completion of report if no final action is t a k e n . (G R S 16/10)
•	fter	final action on project report or 3 yrs. after completion of report if no final action is t a k e n . (G R S
months at	fter and interim reports.	final action on project report or 3 yrs. after completion of report if no final action is t a k e n . (G R S
months at	fter and interim reports. Records Management Files	final action on project report or 3 yrs. after completion of report if no final action is t a k e n . (G R S 16/10)

AID HANDBOOK 21-II Trans. Memo. No.		Effective Date	Page No.
	21-II:20	October 27, 1993	6A-103

WNRC.		
	such matters as forms, correspondence,	Destroy when
6 yrs.		-14 D1:
disposal	reports, mail and files management; the	old. Earlier
ansposan	use of microforms, ADP systems and word	is authorized
if		
(11 12.21	processing; records management surveys;	records are
super-	vital records program; and all other	seded,
obsolete	1 6	s c u c u ,
	aspects of records management not covered	no longer
needed f	or elsewhere in this schedule.	reference.
(GRS 16		reference.
`	<i>'</i>	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

14190 <u>Organizational Files</u> a. Organizational charts and reorganiza Cut off Permanent.

tional studies. Graphic illustrations

WNRC

	tronur studies. Grupine musuumions	inco camicolary.
Hold		
	which provide a detailed description	in office for

files annually.

old. (e.g., offer

1970-74 block

3 yrs.		
	of the arrangement and administrative	then retire to

WINIC.		
	structure of the functional units of	Offer to NARA

in 5 yr.		
	an agency. Reorganization studies of	blocks when

20 yrs.		
	an agency. Reorganization studies are	old. (e.g., offer
	1 1 1 1 000 1	1050 5411 1

	conducted to design an efficient	1970-74 block
in		

	organizational framework must suited	1995). (GRS
16/13.a)		

to carrying out the agency's programs
and include materials such as final
recommendations, proposals, and staff
evaluations. These files also contain
administrative maps that show regional
boundaries and headquarters of
decentralized agencies or that show
the geographic extent or limits of an
agency's programs and projects.

are printed in the Code of Federal

Regulations (CFR), they are not

14200	b.	Functional statements. Formally	Permanent.
Cut off Hold		prepared descriptions of the	files annually.
_		responsibilities assigned to the	in office for
3 yrs. WNRC.		senior executive officers of the	then retire to
in 5 yr.		agency at the division level and	Offer to NARA
20 yrs.		above. If the functional statements	blocks when

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-105

in 1995)

designated for preservation as a separation series.

(GRS 16/13.b)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

14210 Cut off	c.	Agency histories and selected	Permanent.
Hold		background materials. Narrative	files annually.
3 yrs.		agency histories including oral	in office for
WNRC.		history projects prepared by agency	then retire to
		historians or public affairs	Offer to NARA
in 5 yr.		officers or by private historians	blocks when
20 yrs.	under contract to the Agency. Some background materials (such as		old. (e.g., offer 1970-74 block
in 16/13.c)		interviews with past and present	1995). (GRS
10/13.c/		personnel) generated during the research stage may also be selected for permanent retention. Excluded are electrostatic copies of agency documents made for convenient reference.	
14220	Feas	sibility Studies	
1	Stud	lies conducted before the installation	Cut off files
when		ny technology or equipment associated	study is
complete		information management systems,	Destroy when
the	such	as word processing, copiers, micro-	study is 5 yrs.
old.	and estable system a contribution the parameter analytimps	hics, and communications. Studies system analyses for the initial plishment and major changes of these ems. Such studies typically include insideration of the alternatives to proposed system and a cost/benefit ysis, including an analysis of the roved efficiency and effectiveness to expected from the proposed system.	(GRS 16/14)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-107

14230	Emergency Planning Administrative Correspondence Files	
Dostroy	Correspondence files relating to administration and operation of the	Cut off files annually.
Destroy old.	emergency planning program, not covered	when 2 yrs.
oid.	by Items 14010-14040 or elsewhere in this schedule.	(GRS 18/27)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

Emergency Planning Case Files

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background papers.

14240 Cut off	a.	One record copy of each plan or	Permanent.
superseded o	ed or	directive issued, if not included	w h e n
to	00 01	in the Agency's permanent set of	obsolete. Offer
		master directives files.	N A R A when 15 yrs. old in 10 yr. blocks (e.g., of fer 1970-79 block in 1995). (GRS 18/28 .a)
14250 after	b.	Case file copy of plan or directive	Destroy 3 yrs.
new plan	l	if Agency record copy is maintained	issuance of a
1		in a master directives file and all related background materials.	or directive. (GRS 19/28.b)
14260	Eme	ergency Directives Reference Files	
obsolete	Copies of directives and plans issued by		Destroy when
	the A	Agency (other then those maintained	or superseded.
	abov	use files described in Items 14240-14250 ye), as well as those issued by FEMA, r Federal agencies, State or local	(GRS 19/29)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-109

governments, and the private sector.

14270 <u>Emergency Planning Reports</u>

Agency reports or operators tests,

Permanent.

obsolete or is

superseded.
Offer to
N A R A
when 15
yrs. old in

blocks (e.g., o f f e r 1970-79 block in 1995). (GRS 18/30

yr.

1 0

)

Cut off consisting of consolidated or

consisting of consolidated or when related plan or

comprehensive reports reflecting directive

becomes

Agency-wide results of tests conducted

under emergency plans.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14280 <u>Emergency Operations Tests Files</u>

Files accumulating from tests conducted
under Agency emergency plans, such as

Cut off files
annually.

when 3 yrs. old

(GRS 18.31)

Destroy

instructions to members participating in test, staffing assignments, messages tests of communications and facilities, and reports (excluding consolidated and comprehensive reports under Item 14270 above).

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-111

This Chapter groups together material regarding the collection, disbursement, and accounting for Agency funds; the operation of accounting and fiscal reporting systems; accounting procedures for special programs; payroll operations and allied functions of a fiscal nature.

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

Accountable Officer Account Files

Accountable Officers' Files

15010 after	a.	Original or ribbon copy of accountable	Cut off files
		officers' accounts maintained in the	period covered
by		Agency for site audit by GAO auditors,	account. Hold
in		consisting of statements of trans-	office 3 yrs.
then		actions, statements of accountability,	retire to
WNRC.		collection schedules, collection	Destroy 6 yrs.
and		vouchers, disbursement vouchers, and	3 months after
period		all other schedules and vouchers or	covered by
account.		documents used as schedules or vouchers, exclusive of freight records and payroll records described elsewhere in this section. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operation of the Agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this section.	(GRS 6/1.a)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Site audit records include, but are not limited to, the Standard Forms and Optional Forms listed below. Also included are equivalent Agency forms which document the basic financial transactions as described above.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-113

SF 224,	Statement of Transactions
SF 1034,	Public Voucher for Purchase and Services
	Other Than Personal
SF 1036,	Statement of Certificate and Award
SF 1047,	Public Voucher for Refunds
SF 1069,	Voucher for Allowance at Foreign Post
	of Duty
SF 1080,	Voucher for Transfer Between Appropriations
	and/or Funds
SF 1081,	Voucher and Schedule of Withdrawals and
	Credits
SF 1096,	Schedule of Voucher Deductions
SF 1097,	Voucher and Schedule to Effect Correction
	of Errors
SF 1098,	Schedule of Cancelled Checks
SF 1113,	Public Voucher for Transportation Charges
OF 1114,	Bill of Collection
OF 1114A,	Official Receipt
OF 1114B,	Collection Voucher
OF 1129,	Reimbursement Voucher
OF 1143,	Advertising Order
OF 1145,	Voucher for Payment Under Federal Tort
	Claims Act
OF 1154,	Public Voucher for Unpaid Compensation
	Due a Deceased Civilian Employee
OF 1156,	Public Voucher for Fees and Mileage
OF 1166,	Voucher and Schedule of Payments
OF 1185,	Schedule of Undeliverable Checks for
	Credit to Government Agencies
OF 1218,	Statement of Accountability (Foreign
	Service Account)
OF 1219,	State of Accountability
OF 1220,	Statement of Transactions According to
	Appropriation, Funds and Receipt Accounts
OF 1221,	Statement of Transactions According to
	Appropriations, Funds and Receipt Accounts
	(Foreign Service Account).

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

15020 after	b.	Memorandum or extra copies of account-	Cut off files
by		able officers' returns including	period covered
Destroy		statements of transactions and	account.
account.		accountability, all supporting vouchers, schedules, and related	3 yrs. after the period of the
ucesunt.		papers not covered elsewhere in this schedule, and excluding freight records covered by Chapter XX and payroll records covered by Chapter XV.	(GRS 6/1.b)
15030	GAG	O Exceptions Files	
after	Gen	eral Accounting Office notices of	Destroy 1 yr.
	exce	eptions, such as Standard Form 1100,	exception has
been		nal or informal, and related	reported as
cleared b	•	espondence. GAO. (GRS 6/2)	
	Cert	ificates of Settlement Files	
	of a	ies of certificates and settlement ecounts of accountable officers, ements of differences, and related ords.	
15040	a.	Certificates covering closed account	Cut off files
after		settlements, supplemental settlements,	settlement.
Destroy		and final balance settlements.	2 yrs. after date of settlement. (GRS 6/3.a)
15050	b.	Certificates covering periodic	Destroy when sub-
		settlements. sequent certificate of settlement is received. (GRS	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-115

15060	General Fund Files	
Destroy	Records relating to availability, collection, custody and deposit of	Cut off files annually.
old.	funds including appropriation warrants	when 3 yrs.
oid.	and certificates of deposit (SF 215), other than those records covered by Items 15010-15020 of this chapter.	(GRS 6/4)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Accounting Administrative Files

Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

15070 a. Files used for workload and personnel management purposes.

Destroy
when 2 yrs.
old. (GRS
6/5.a)

15080 b. All other files. Cut off files annually. Destroy when 3 yrs. old. (GRS 6/5.b)

Federal Personnel Study Bond Files

a. Official copies of the bond and attached powers of attorney.

	attached powers of attorney.	
15090 after	1) Bonds purchased before	Destroy 15 yrs.
	January 1, 1956.	bond becomes
inactive.		(GRS 6/6.a)
15100 after	2) Bonds purchase after	Destroy 15 yrs.
anei	December 31, 1955.	the end of the bond premium period. (GRS 6/6.a. (2)
15110 b.	Other bonds files, including other	Destroy when
bond	copies of bonds and related papers.	b e c o m e s inactive or after the end of the bond

premium

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-117

period. (GRS 6/6.b)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

15120	Gasoline Sales Tickets	
Dagtugy	Hard copies of sales tickets filed in support of paid vouchers for credit card	Cut off files annually.
Destroy	purchases of gasoline. after GAO audit of when 3 yrs. old, whichever is s 6/7)	ooner. (GRS
	Telecommunications Records	
15130 Destroy	a. Originals and copies of toll tickets filed in support of telephone toll	Cut off files annually.
·	call payments. after GAO audit or when 3 yrs. old, whichever is s 6/8)	ooner. (GRS
15140	b. Originals and copies of telegrams filed in support of telegraph bills.	Cut off files annually. Destroy after GAO audit or when 3 yrs. old, whichever is sooner. (GRS 6/9)
15150	<u>Transportation Voucher Files</u>	
when	Vouchers identified by "T" prefixed to	Cut off files
	the voucher and schedule of payment	paid* Destroy
10 yrs.	number which involves U.S. Tariff rates.	a f t e r

payment.
* Note:
Vouchers
are sent to
GSA for
review on
monthly
basis.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-119

15160 <u>Claims Files</u>

Documentation and claimants who

Cut off files

when

suffer loss of property and effects

resolved. Hold

in

and other loss. office 3 yrs. then retire to WNRC. Destroy 6 yrs. after settlement

of claim.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

15170	Expenditure Accounting Files Expenditures Accounting General Correspondence and Subject Files	
Destroy	Correspondence or subject files maintained by operating units responsible for expenditures	Cut off files annually. when 2 yrs.
old.	accounting, pertaining to their internal operations and administration.	(GRS 7/1)
	Accounting Ledgers	
15180 in	a. General accounts ledgers, showing debit and credit entries, and	Cut off files annually. Hold
	reflecting expenditures in summary.	office 3 yrs. then retire to WNRC. Destroy 6 y r s . , 3 months after the close of the fiscal year involved. (GRS 7/2)
15190	b. Appropriation Allotment Ledgers showing status of obligations and	Cut off files annually. Hold
in	allotments under each authorized	office 3 yrs.
then	appropriation. retire to WNRC. Destroy 6 yrs., 3 months after fiscal year involved. (GRS /3)	the close of the
	Expenditure Accounting Posting and	

Expenditure Accounting Posting and Control Files

15200 a. Original records. Cut off files annually.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-121

Destroy when 3 yrs. old. (GRS 7/4.a)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II	
	October 27, 1993	21-II:20		

15210 b. Copies

Cut off files annually. Destroy when 2 yrs. old. (GRS 7/4.b)

Stores Plant and Cost Accounting Files

(See Chapter XVI. GENERAL SUPPORT SERVICES RECORDS).

Employee Services Files

15220 Individual Accounts Files

Individual earning and service cards, such as Optional Form 1127 or equivalent.

Transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri. (a) If filed in official personnel folder (OPF) or in individual pay folder adjacent to the OPF, destroy with the OPF. (b) If not in or filed adjacent to the OPF, destroy 56 yrs. after the date of the last entry on the card.

AID HANDBOOK 21-II		Trans. Memo. No.	Effective Date	Page No.
		21-II:20	October 27, 1993	6A-123
15220	D 11.C	l E'l		(GRS 2/1)
15230	Payroll Corresp	ondence Files		
General correspondence files maintained by payroll units pertaining to payroll Destroy			Cut off files annually.	
Desiroy	preparation and	processing.		when 2 yrs. old. (GRS

2/2)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Time and Attendance Reports Files

a. Forms such as Optional Form 1130 or equivalent.

15240	1)	Payroll preparation and processing copies.	Cut off files annually. Destroy after GAO audit or when 3 yrs. o 1 d, whichever is sooner. (GRS 2/3.a.(1)
15250	1)	All other copies.	Destroy 6 months after the end of the pay period. (GRS 2/3.a. (2)
15260	b. Flex	xitime Attendance Records.	
Destroy	reco	plemental time and attendance ords, such as sign-in/sign-out	Cut off files annually.
audit or		ets and work reports, used for	after GAO
	time	e accounting under Flexitime systems.	when 3 yrs. o l d , whichever is sooner. (GRS 2/3.b)
15270		l Pay Case Files	o l d , whichever is sooner.
15270 when	<u>Individual</u>		o l d , whichever is sooner.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-125

separates		
3 yrs.	allotments from purchases documents,	Hold in office
WNRC.	leave data, SF 50s, payroll change	then retire to
after	slips, income tax and retirement	Destroy 7 yrs.
	material, levied and garnishment records and related other documents and correspondence.	separation of employee.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

- NOTE: This item brings together (1) documents pertaining to the pay history of individual employees. The retention period prescribed exceeds those contained in General Records Schedule 2, Payrolling and Pay Administration Records for all of the documents which some agencies do not being together in one separate record series but rather maintain in several series. The 7 year retention period satisfies all Agency needs for the records based on reference experience over an extended period of time.
- (2) See Treasury Fiscal Requirements Manual, para, 60 20.20e for instructions relating to savings bonds authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions relating to CFC authorizations.

15280 <u>Bond Registration Files</u>

Issuing agent's copies of bond registration stubs.

Cut off files annually. Destroy when 2 yrs. old. (GRS 2/5)

15290 Bond Receipt and Transmittal Files

Receipts for transmittals of U.S. Savings

Destroy 3

months

Bond and checks. date of receipt. (GRS 2/6)

15200 Budget Authorization Reference Files

Copies of budget authorizations in operating payroll units used to control

Destroy when superseded.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-127

personnel ceilings and personnel actions.

(GRS 2/12)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Payroll Files

Memorandum copies of payrolls, check list, and related certification sheets, such as SF 1013A, SF 1128A, or equivalents.

15210 Federal	a.	Security copies of documents prepared	Destroy when
receives		or used for disbursement by Treasury	Record Center
receives		disbursing offices, with related papers.	s e c o n d subsequent payroll or checklist covering the s a m e payroll unit. (GRS 2/13. a)
	b.	All other copies.	
15320		1) If earning record card is maintained.	Cut off annually. Destroy after GAO audit or when 3 yrs. o 1 d, whichever is sooner. (GRS 2/13. b.(1)
15330 NPRC,		2) If earning record card is not	Transfer to
m KC,		maintained.	St. Louis, Missouri when 3 yrs. o 1 d . Destroy when 10

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-129

yrs. old. (G R S 2/13.b.(2)

15340 Payroll Control Files

Payroll control registers.

Cut off files annually. Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/14)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Fiscal Schedules Files

Memorandum copies of fiscal schedules used in the payroll process.

15350 a. Copy used in GAO audit.

Cut off files annually. Destroy after GAO audit or when 3 yrs. o 1 d, whichever is sooner. (GRS 2/16.a)

15360 b. All other copies.

Destroy 1 month after the end of the pay period. (GRS 2/16.b)

Administrative Payroll Report Files

Reports, statistics, with supporting and related records pertaining to payroll operations and pay administration.

15370 a. Reports and data used for workload and personnel management purposes.

Cut off files annually. Destroy when 2 yrs. old. (GRS 2/17.a)

15380 b. All other reports and data.

Cut off files annually. Destroy when 3 yrs. old. (GRS)

AID HAND	BOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
		21-II:20	October 27, 1993	6A-131
				2/17.b)
15390	Insurance Dedu	ction Files		
Destroy	-	ated papers including ers and schedules of		Cut off files annually.
old.	payments pertai	ning to insurance		when 3 yrs.

(GRS 2/22)

deductions.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

15400	Wage Survey Files	
after	Wage survey reports and data, working	Cut off files
wage	papers and related correspondence	completion of
Destroy a	pertaining to area wages paid for each	survey.
second	employee class; background papers	completion of
wage	establishing needed authorization,	succeeding
2/24)	direction, and analysis of wage surveys;	survey. (GRS
	development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	
	<u>Loan Services Files</u>	
15410	<u>Loan Files</u>	
when	Folders containing loan agreements, loan	Cut off files
Hold in	guaranty documents, selected project	loan is paid.
then WNRC.	implementation letters (PILS), amortization	office 3 yrs.
	schedules, and related documents pertaining	retire to
	to loans with host countries under foreign aid program.	Destroy 6 yrs., 3 months after loan is paid and no claims are outstanding.

Payment Files

These files consist of:

		21-II:20	October 27, 1993	6A-133
15420	Dovument	annondo ou cuento ou d		Cut off files
15420 a. when	•	records on grants and		Cut off files
	contracts.	including investment		payment is

Effective Date

Page No.

in office 3 yrs.

Trans. Memo. No.

guarantee contracts, with private

AID HANDBOOK 21-II

made. Hold

then

contractors. retire to WNRC. Destroy 6 yrs., 3 months after payment.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

15430 Letters of commitments and related Cut off files b. when documentation pertaining to program payment is made. Hold funded projects with host countries. in office 3 yrs. then retire to WNRC. Destroy 6 y r s . , 3 months a f t e r payment. Bank letters of credit. Cut off files 15440 c. w h e n payment is made. Hold in office 3 yrs. the retire to WNRC. Destroy 6 y r s . , 3 months a f t e r payment. **Ledgers** Investment Guaranty and loan accounting records showing totals of payment activity. Investment Guaranty Ledger showing 15450 Destroy 6 yrs. a. amounts of coverage and prepayments 3 months after for each contract. contract termination. 15460 Investment Guaranty General Ledger b. Destroy 6 yrs. showing monthly totals reflecting 3 months after activity. contract

termination.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-135

15470 c. Individual Loan Ledger.

Destroy 6 yr. 3 months after final payment or determinati on that loan i s uncollectab le.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

This Chapter groups together records relating to internal service operations; acquisition, allocation, and administration of Agency space; building maintenance, safety and protection; administration and accountability for supplies and equipment; motor pool operation and maintenance; library, printing, reproduction, and distribution services provided for Agency internal operating purposes. It does not provide for the disposition of records pertaining to the procurement of items--see XVIII. PROCUREMENT AND CONTRACTING RECORDS.

ITEM NO DISPOSE		DESCRIPTION OF RECORDS	AUIHORIZED
	<u>Buil</u>	ding Services Records	
16010	a.	Requisition for nonpersonal services	Destroy when
1 yr.		such as laundry, telephone, duplicating, and bindings.	old. (GRS 3/8)
16020	b.	Plant accounting cards and ledgers pertaining to structures.	Destroy when structures leave AID control.
16030 after	c.	Requests for building and equipment	Destroy 2 yrs.
work or		maintenance, moving service, and	completion of
of		electrical (including renovation),	cancellation
OI.		except fiscal copies.	requisition. (GRS 3/9.a)
	<u>Buil</u>	ding Protection Records	
16040 1 yr.	a.	Security check on lock cabinet forms,	Destroy when
18/19)		record of personnel opening and	old. (GRS
10/17)		closing combination or lock files or vaults each day, or performing room security check at close of day.	
16050	b.	Copies of security inspections of	Destroy when

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-137

4 yrs.			
18/10	19/10	Government and privately owned	old. (GRS
10/10		buildings.	and 11)
16060 c. 2 yrs.	c.	Copies of investigative reports of	Destroy when
	fires or other property damage and	old. (GRS	
18/12)		reports of minor building damage.	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

d.	Material regarding accountability of
	keys issued:

	keys issued:				
16070		Destroy 3 yrs. after turn-in of k e y . (GRS 18/17 .a)			
16080		Destroy 6 months after turn-in of key. (GRS 18/17.b)			
16090	e. Registers of logs of visitors admitted	Destroy 2 yrs.			
after 18/18.b)		final entry or 2 yrs. after day of docu- ment, as appro- priate. (GRS			
16100	Building and Occupant Safety Records				
Destroy old.	Material regarding protection of buildings and occupants from damage or injury.	Cut off files annually. when 3 yrs.			
	Telephone Use Records				
16110 Destroy	and radio service, not involving	Cut off files annually. when 3 yrs.			

			21-II:20	October 27, 1993	6A-139
16120 after	b.	_	cy agreements for AID ephone facilities.		old. (GRS 12/2.b) Cut off files termination o f agreement. Destroy 2 yrs. after termin- ation of agreement. (GRS 12/2.3)
16130 3 yrs.	c.	•	e installation or		Destroy when
12/2.b)		service ge	eneral files.		old. (GRS

Trans. Memo. No.

Page No.

Effective Date

AID HANDBOOK 21-II

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

16140	d.	Telephone statements and toll slips.	Dispose of w i t h covering voucher. (GRS 6/8)
16150	e.	Telephone directories.	Destroy when superseded or obsolete. (non-record)
	<u>Equi</u>	ipment and Supplies Records	
16160 Destroy	a.	General routine correspondence regarding receipt, transfer, and	Cut off files annually.
Desiroy		assignment of personal property.	when 2 yrs. old. (GRS 3/3 and 4/4)
16170 when	b.	Requisitions for supplies and	Cut off files
when		equipment from current inventory.	order is complete.
16180		1. Stockroom Copies	Destroy 2 yrs. after completion of order. (GRS 3/9.a)
16190		2. Requesting office copy	Destroy when 6 months old. (GRS 3/9.b)
16200	c.	Requisition Register showing receipt and progress of pending requisitions.	Cut off files annually. Destroy when 2 yrs. old.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.	
	21-II:20	October 27, 1993	6A-141	

16210	d.	Inventory listing of supplies and equipment. equipment is trans-	Cut off files when
		ана едиринент. едиринент із шанз	ferred. Destroy 2 yrs. after data of list. (GRS 3/9.a)
16220	e.	Reports of surveys of personal property.	Cut off files annually. Destroy when 2 yrs. old. (GRS 4/4)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

16230 months after	f. er	Property pass files authorizing	Destroy 3
	CI	removal to personal custody of	return of
property.		government property.	(GRS 18/13)
	g.	Files of Reports of Excess Personal Property (SF 120) and correspondence	Cut off files annually.
Destroy		relating to personal property disposal.	when 3 yrs. old. (GRS 4/5)
	h.	Quarterly Utilization and Disposal of Excess and Surplus Personal	Cut off files annually.
Destroy		Property Reports.	when 3 yrs. old. (GRS 4/5)
	i.	Excess Property Disposal Record describing model number, acquisition	Cut off files annually.
Destroy		cost, and market value.	when 3 yrs. old. (GRS 4/5)
j	j.	Case files on sales of surplus property, comprising invitations, bids, acceptance, listings of materials, evidence of sales, and related correspondence:	
16270		1) Transactions of \$10.000 or less.	Cut off files after final payment. Destroy 3 yrs. after f i n a 1 payment.
16280		2) Transactions of more than \$10,000.	Cut off files after final

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-143

payment.
Destroy 6
yrs. after
f i n a l
payment.

16290 of files 3) Transactions of more than \$25,000

Send report

which represent departure from

t o

MS/MO/PA/RM.

established sales or disposal procedures.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

16300 after	k.	Material documenting ownership or	Destroy 5 yrs.
AID		custody of aircraft by AID,	aircraft leaves
THE		including assignment to a particular overseas office, flight plan summary, detachment and disposition.	control.
16310 Destroy	l.	Invoices and related files used for stores accounting, including returns and reports. when 3 yrs. old. (GRS 8/3)	Cut off files annually.
16320	m.	Listings and work papers used in accumulating stores accounting data.	Cut off files annually. Destroy when 2 yrs. old. (GRS 8/5)
16330 after	n.	Plant accounting cards, reports,	Destroy 3 yrs.
withdraw	yn fron	ledgers, and inventories covering	item is
William	, 11 1101	household type equipment and	plant account.
		furnishings. (GRS 8/6)	
16340 after	о.	Plant accounting reports, ledgers,	Destroy 3 yrs.
withdraw	un fran	and inventories covering office	item is
withdraw	vii iioi	equipment and furnishings.	p l a n t account. (GRS 8/6)
16350 Destroy	p.	General administrative correspondence relating to acquisition, use, and	Cut off files annually.
old.		release of office equipment and furnishings.	when 3 yrs.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-145

<u>Library Service Files</u>

16360	a.	General correspondence regarding library operation and service.	Cut off files annually. Destroy when 2 yrs. old.	
	b.	Library accession records showing	Destroy when	
no longe	Ľ	publications received.	needed.	
16380	c.		Control cards for items charged	Destroy when
no longe	r	from library. needed.		

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

Motor Pool Operation Files

16390 Destroy	a.	Annual Motor Vehicle Report (SF 82) and other reports regarding vehicles	Cut off files annually.
Desiroy		and motor pool operations.	when 4 yrs. old. (GRS 10/4)
16400	b.	Material regarding motor vehicle accidents.	Cut off files after close of c a s e . Destroy 6 yrs. after close of c a s e . (GRS 10/5)
16410 1 year	c.	Vehicle Dispatch Register showing	Destroy when
1 year		time, destination, and driver of vehicle, or individual trip tickets reflecting use of vehicles (except copies used in collection of funds).	old.
16420	d.	Correspondence regarding maintenance and operation of vehicles.	Cut off files annually. Destroy when 2 yrs. old. (GRS 10/1)
16430	e.	Operating records on individual vehicles.	Destroy when 3 months old. (GRS 10/2.a)
16440	f.	Maintenance records on individual	Destroy when 1 year
10/2.b)		vehicles.	old. (GRS

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-147

16450 g. after	Material regarding individual	Destroy 3 yrs.
	employee operation of Government-	separation of
employee 	owned vehicles, including application forms, drivers' tests, authorization	or 3 yrs. after recision or
expiration	to use, and safe-driving awards.	of permit, whichever is earlier. (GRS 10/7)
16460 h. when	Vehicle Release Files including	Cut off files
AID	Certification of Release, or evidence	vehicle leaves
	of sale, transfer or exchange.	control. Destroy 4 yrs after vehicle leaves AID custody. (GRS 10/6)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

Reproduction and Distribution Services Files

16470	a.	Correspondence pertaining to printing and distribution unit regarding	Cut off files annually.
Destroy old.		administration and operation of	when 2 yrs.
ora.		the office. (GRS 13/2)	
16480	b.	Agency reports to Joint Committee on Printing regarding operation and equip-	Cut off files annually.
Destroy		ment inventories of printing facility.	when 2 yrs. old. (GRS 13/6)
16490	c.	Control registers, logs and forms pertaining to requisitions and work	Cut off files annually.
Destroy		orders for printing.	when 1 year old. (GRS 13/4)
16500	d.	Requisitions for printing, binding,	Cut off files
on cancel-		etc., to Government Printing Office:	completion or
completi	on	1) Copy of requisition, invoice,	lation. Destroy 3 yrs after
of		specification, and related papers.	or cancellation
01			order.
	e.	Job or project case files covering planning and execution of duplication, collating, and binding (except GPO jobs, for which see above):	
16510		1) Jobs performed by Agency.	Cut off files annually. Destroy when 1 year

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-149
			o l d . (GRS 13/3. a)

16520 2) Commercial contract jobs.

Cut off files annually. Destroy when 6 yrs. old. (GRS 3/4)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

Destroy after

f.	Mailing and distribution lists and
	related material:

Correspondence, request forms,

16530

1)

rovision		1)	Correspondence, request forms,	Destroy unter
revision			and other records regarding changes	of list. (GRS
13/5.a)			in mailing lists.	
16540		2)	Card lists.	Destroy individual cards when cancelled or revised. (GRS 13/5.b)
16550 cancelled	1	3)	Plate or stencil lists (including	Destroy when
cancenec	1		the plate or stencil).	or revised. (GRS 13/5. c)
	Spac	ce File	<u>es</u>	
16560	a.		eral correspondence files of the ce responsible for space and	Cut off files annually.
Destroy old.		mair	ntenance matters, including	when 2 yrs.
oiu.			chousing, pertaining to its own ration and administration.	(GRS 11/1)
	b.	utili	ords regarding allocation, zation, occupancy, and release pace under AID control:	
16570 after		1)	Building plans and related records	Destroy 2 yrs.
assign-			utilized in space planning,	termination of
4001511			assignment, and adjustment.	ment, when lease is

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-151

cancelled, or when plans are superseded or obsolete. (GRS 11/2. a)

16580 above.

2) Cards on individual occupants.

See b. 1)

Page No.Effective DateTrans. Memo. No.AID Handbook 21-IIOctober 27, 199321-II:20

XVI. GENERAL SUPPORT SERVICES RECORDS

16590 Cut off files Space reports including but not c. limited to Annual Report of Real annually. **Destroy** Property Owned by U.S. Government when 3 yrs. old (SF 1166), listing land, buildings, (GRS 11/2.b(1) and other facilities. Non-Residential Real Property Report, Summary of Number of Installations owned by United States as of end of fiscal year (GSA Form 1209), Quarterly Agency Space Report (D.C. and adjacent areas), providing current information on AID utilization of space in and around D.C., General Purpose and Other Space Managed by GSA (GSA Form 1731) -- estimated amounts to be transferred to GSA to finance space for expansion and other purposes, etc., 16600 d. Records documenting Agency use, Destroy 2 yrs. after custody, or rental of office space, termination of indicating square footage held, occupancy. organizational component in the space, dates of occupancy, and location or address. 16610 Lease files on domestic and overseas Cut off files e. when offices. Copies of leases, renewals, l e a s e terminates. termination notices, and related papers. Destroy 3 yrs. after l e a s e terminated i s o r cancelled,

or 3 yrs.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-153

a f t e r conclusion of litigation (if any) whichever is later.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

XVI. GENERAL SUPPORT SERVICES RECORDS

16620 after	f.	Papers used in space planning,	Destroy 2 yrs.
		assignment, and adjustment,	space is
floor plans, m issuance of pa		including space requests, surveys, floor plans, moving schedules, and issuance of passes and permits (to conference rooms, dining rooms, etc.).	(GRS 11/1)
16630	Real	Property Files	
Cut off at		e papers documenting the acquisition	Permanent.
Cut on at	and o	disposition of overseas real property purchase, donation, exchange, or	end of FY when inventory is
disposed		rwise) including abstract or certifi-	of. Hold in
office retire	catio	on of title or equivalent and related	for 3 yrs. then
ictifc	correspondence. to WNRC. Transfer to NARA in 5 yr. blocks when mo		

record is 10 yrs. old.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-155

This Chapter covers all phases of personnel administration including position classification and standards; recruitment, appointment, placement and separation of employees; employee-management relations and necessary personnel services; programs; and conditions of employment.

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

1. 6 months

Official Personnel Folders

Folders on Civil Service and Foreign Service AID employees. These records are designated as property of the Civil Service Commission and are maintained in accordance with the Federal Personnel Manual:

17010 a. transfer	All copies of correspondence and	Destroy upon
of	forms maintained as temporary records	or separation
when 1 yr.	on the left side of the folder, in	employee or
W.1621 1 y 1.	accordance with FPM.	o l d , whichever is sooner. (GRS 1/10)
17020 b. Personnel	Folders of employees transferring to	See Federal
	another agency. Manual. (GRS 1/1.b(1)	
17030 c.	Folders of separated employees.	Transfer to in a c t i v e files upon separation, and forward to Federal Records Center, St. Louis, within:

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

for FS employee.

2. 30 days for GS employees. (GRS 1/1) (GRS S 1/1.b.(2)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-157

Service Record Cards

Service Record Card (Standard Form 7 or its equivalent).

17040 Transfer to Cards for employees separated or

NPRC

transferred on or before December 31,

(CPR), St.

Louis.

1947. Missouri. Destroy 60 yrs after earliest

personnel action date. (GRS 1/2.a)

Cut off when 17050 Cards for employees separated or b.

employee

transferred on or after January 1,

separates.

Destroy

1948. 3 yrs. after separ- ation or transfer of

employee. (GRS 1/2.b)

17060 Personnel Correspondence Files

> Correspondence, reports, memoranda, Cut off files

and other records relating to the

annually.

Destroy

general administration and operation

when 3 yrs.

old.

of personnel functions, but excluding (GRS 1/3)

records specifically described elsewhere in this schedule and records maintained

at Agency staff planning levels.

Offers of Employment Files

Correspondence, letters, and telegrams offering appointment to potential employees.

17070 Accepted offers. Destroy

immediately.

(GRS 1/4.a)

Declined offers. b.

17080 1) When name is received from Return to OPM

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

with

certificate of eligibles.

reply and application. (GRS 1/4.b(1)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-159

17090	2) Temporary or excepted appointment.	File inside application (see item 17330 of this chapter.) (GRS 1/4.b (2)		
17100	3) All others.	Destroy immediatel y. (GRS 1/4.b(3)		
17110	Certificate of Eligibles Files			
Destroy	Certificates of eligibles with related requests, forms, correspondence, and	Cut off files annually.		
•	statement of reasons for passing over	when 2 yrs.		
old.	a preference eligible and selecting a nonpreference eligible.	(GRS 1/5)		
17120	Employee Record Cards			
separatio	Employee record cards used for on	Destroy on		
-	informational purposes outside personnel office (such as SF 7-B). (GRS 1/6)			
	Position Classification Files			
	a. Position Classification Standards Files.			
17130	1) Standards and guidelines issued	Destroy when		
super-	or reviewed by OPM and used to	seded or		
obsolete.	classify and evaluate positions within the Agency.	(GRS 1/7.z.(1)		

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

2) Memoranda, correspondence and other records relating to the development of standards for classification of positions peculiar to the Agency and OPM approval or disapproval.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-161

17140 (a) Case Files.

Cut off when position is abolished. Destroy 5 yrs. after position is obolished or description is superseded. (GRS 1/7.a. (2)(a)

17150 (b) Review Files.

Destroy when 2 yrs. o 1 d . (GRS 1/7.a. (2)(b)

b. Position Descriptions.

Files describing established positions including information on title, series, grade, duties and responsibilities.

17160 1) Record copy.

Cut off when position is abolished. Destroy 5 yrs. after position is abolished or description superseded. (GRS 1/7.b.(1)

17170 2) All other copies.

Destroy

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

w h e n
position is
abolished or
d e scription
superseded.
(GRS
1/7.b.(2)

c. Survey Files.

Classification Survey Reports. 17180 1) Survey reports on various annually. Destroy positions prepared by classifiwhen 3 yrs. old or cation specialists, including 2 yrs. after regular periodic reports. inspection, whichever is sooner. (GRS 1/7.c. (1)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-163

17190		2) I	spection, Audit and Survey		Destroy when
obsolete	File. Correspondence, memoranda,				or superseded.
		t	ports and other records relating inspections, surveys, desk dits and evaluations.		(GRS 1/7.c.(2)
	d.	Appea	Files.		
17200		Case fi	es relating to classification		Cut off when
case is		appeal	(GRS 1/7.d)	sed. Destroy 3 yrs. after o	case is closed.
17210	Interv	iew Re	<u>ords</u>		
		sponde	ce, reports and other records		Destroy 6
months a		ng to in	erviews with employees.		transfer or separation of employee.
(GRS 1/8	3)				or employee.
17220	<u>Perfor</u>	rmance	Rating Board Case Files		
	Copie	es of ca	e files forwarded to OPM		Cut off files
when	relating to performance rating board			case is closed.	
	reviev	ws.	Destroy 1 year after case	is closed. (GRS 1/9)	
17230	<u>Temp</u>	orary I	dividual Employee Records		
	All co	pies of	orrespondence and forms		Destroy upon
separ-	mainta	ained o	the left side of the		ation or transfer
of	Offici	ial Pers	nnel Folder in accordance		employee or
when		Federal	Personnel Manual,		1 year old,
whicheve		ter 293,	and Supplement 293-31.		is sooner.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

(GRS 1/10)

17240 <u>Position Identification Strips</u>

Strips such as Standard Form 7D,

Destroy when

position

used to provide summary data on each is cancelled

or new position occupied. strip is prepared. (GRS 1/11)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-165

Employee Awards Files

a. General awards records.

17250 after	1) Case files including recommend-	Cut off files
approval/disap	ations, approved nominations,	
after	memoranda, correspondence, reports	Destroy 2 yrs.
	and related handbooks pertaining to Agency-sponsored cash and	cutoff. (G R S
1/12.a.(1)	non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.	
17260	Correspondence or memoranda pertaining to awards from other	Cut off files annually.
Destroy	government agencies or private	when 2 yrs.
old.		•
1/12.a.(2)	organizations.	(G R S
17270 b.	Length of Service and Sick Leave Awards Files.	
Destroy	Records including correspondence, memoranda, reports, computations or	Cut off files annually.
Destroy old.	service and sick leave, and list of	when 1 year
old.	awardees.	(GRS 1/12.b)
17280 c.	Letters of Commendation and Appreciation.	
Destroy	Copies of letters recognizing length of service and retirement and letters	Cut off files annually.
old.	of appreciation and commendation for	when 2 yrs.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	
	performance, EXCLUDING in the Official Personnel Fol	±	(GRS 1/12.c)
17290 d.	Lists or Indexes to Agency A Nominations.	Award	
super-	Lists of nominees and winne	rs, and	Destroy when
obsolete.	indexes of nominations.		seded or

(GRS 1/12.d)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-167

17300 Incentive Awards Program Reports

Reports pertaining to the operation of the Incentive Awards Program.

Cut off files annually. Destroy when 3 yrs. o 1 d . (GRS 1/13)

Notifications of Personnel Actions

Standard Form 50 documenting initial employment, promotions, transfers in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.

17310 a. Chronological file copies, including fact sheets, maintained in personnel

Cut off files annually.

Destroy

offices.

when 3 yrs. old. (GRS 1/14.a)

17320 b. All other copies maintained in personnel offices.

Cut off files annually. Destroy when 1 year old. (GRS 1/14.b)

17330 Employment Applications

Applications (Standard Form 171) and

Destroy upon

receipt

related records, EXCLUDING records

of OPM

inspection

relating to appointments requiring

report or when

2 yrs.

Senatorial confirmation and applications

old, whichever

is

resulting in appointment which are filed

earlier,

provided the

in the Official Personnel Folder (see

requirements

of the

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

items 17010-17030 above).

Federal Personnel Manual Chapter 333, Section A-4, are observed. (GRS 1/15)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.	
	21-II:20	October 27, 1993	6A-169	

17340	Perso	onnel Operations Statistical Reports	
Dagtroy		stical reports in the operating onnel office and subordinate units	Cut off files annually.
Destroy	relati	ng to personnel management	when 2 yrs.
old.	activi	ities within the Agency.	(GRS 1/16)
	Corre	espondence and Forms Files	
	relati main	ating personnel office records ng to individual employees not tained in Official Personnel Folders not provided for elsewhere in this dule.	
17350 action	a.	Correspondence and forms relating	Destroy when
action		to pending personnel actions.	i s completed. (GRS 1/17. a)
	b.	Retention Registers.	
17360		1) Registers from which reduction-in-force actions have been taken.	Cut off files annually. Destroy when 2 yrs. old. (GRS 1/17.b.(1)
17370		2) Registers from which no reduction-	Destroy when
super-		in-force actions have been taken.	seded or obsolete. (G R S 1/17.b.(2)
17380	c.	All other correspondence and forms.	Destroy when 6 months old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

(G R S 1/17.c)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-171

17390	Medical Case Files	
employee	Medical histories, examinations, including	Cut off when
Retire to	laboratory reports, hospital reports and	separates.
Louis, M	clinical interviews, and other material O.,	NPRC St.
separ-	pertaining to Foreign Service employees and	2 yrs. after
_	their eligible dependents and employees of other Government agencies who are partici-	ation. Destroy 17 yrs. after
separ-	pating in the medical and health programs	ation or last
action.	of the Department of State.	(NC1-59-7 6-12), item 1a) (Disposal suspended per GSA F P M R Bulletin B 1 1 2, August 5, 1981.)
	Employee Medical Folder (EMF)	
	a. Long-term medical records as defined in the Federal Personnel Manual (FPM), Chapter 293.	
17391	(1) Transferred employees.	See FPM f o r instructions.
17392	(2) Separated employees.	Transferred to National Personnel Records

(NPRC), St.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Louis, MO, 30 days a f t e r separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot ascertained, or 30 years after latest separation, whichever is later.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-173

17393	b.	Ten	nporary or short-term records as	Destroy 1 year
after		defi	ned in the FPM.	separation or trans- ferofemployee
17394	c.	Indi	vidual Employee Health Case	Destroy 60 yrs.
after		File	s created prior to establishment	retirement to
FRC.			of the EMF system that have been retired to an FRC.	
	<u>Em</u> p	oloyee	Performance File System Records	
	a.	Non	a-SES appointees (as defined in 5 USC 4301(2)	
17400		1)	Appraisals of unacceptable	Cut off files
after			performance, where a notice of	the employee
completes			proposed demotion or removal is	1 year of
acceptab	ole	2	issued by not effected, and all	performance
from the			related documents.	date of the written advance notice of proposed removal or reduction in grade notice. (GRS 1/23. a.(1)
17410		2)	Performance records superseded	Destroy upon
super- 1/23.a.(2	2)		through an administration, judicial, or quasi-judicial	session. (G R S
	- /		procedure.	

Page No.]	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	C	October 27, 1993 21-II:20		
17420	3)	Performance-related records pertaining to a former employee.		Cut off files annually. Destroy when 3 yrs. old or when no longer needed, whichever is sooner. (GRS 1/23. a.(3)
17430 after	4)	All other summary per	formance	Cut off files
appraisal.		appraisal records inclu	ıding	date of
after		performance appraisal	s and job	Destroy 3 yrs.
appraisal.		elements and standard	s upon which	date of
1/23.a.(4)		they are based.		(G R S

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-175

5)	Supporting documents.	Cut off files a f t e r appraisal. Destroy 3 yrs. after date of appraisal or when no longer needed, whichever is sooner. (GRS 1/23.a.(5)
	± ±	
1)	Performance records superseded through an administrative,	Destroy upon supersession.
	judicial, or quasi-judicial procedure.	(G R S
2)	Performance-related records pertaining to a former SES appointee.	Disposition (G R S
3)	All other performance appraisals, along with job elements and standards (job expectations) upon which they are based.	Cut off files appraisals. 5 yrs. after date appraisal, exclusive of any interim service as a P r e s i - d e n t i a l
	SES 5 U 1)	SES appointees (as defined in 5 USC 3132a(2). 1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure. 2) Performance-related records pertaining to a former SES appointee. 3) All other performance appraisals, along with job elements and standards (job expectations) upon

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II	
	October 27, 1993	21-II:20		

appointee. (G R S 1/23.b.(3)

17480 4) Support documents.

Cut off files a f t e r appraisal. Destroy 5 yrs. after date of appraisal or when no l o n g e r n e e d e d, whichever is sooner. (GRS 1/23.b.(4)

17490 c. Presidential appointees.

Disposition pending. (GRS 1/23.c)

Financial Disclosure Reports

S e e VI.
LEGISLAT
IVE AND
L E G A L
AFFAIRS
RECORDS.
(GRS 1/25)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-177

Equal Employment Opportunity Records

	_		
17500	a.	Official Discrimination Complaint Case Files.	
ofter		Originating agency's file containing	Cut off files
after		complaints with related correspondence,	resolution of
case.		reports, exhibits, withdrawal notices,	Destroy 4 yrs.
after		copies of decisions, records of hear-	resolution of
case.		ings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by EEOC, or by a U.S. Court.	(GRS 1/26.a)
17510	b.	Copies of Complaint Case Files	
after		Duplicate case files or documents	Destroy 1 year
		pertaining to case files retained	resolution of
case.		in Official File Discrimination	Destroy 2 yrs.
arter		Complaint Case Files.	f i n a l resolution of case. (G R S 1/26.c)
17520	c.	Background Files.	
o 6 4 o <i>u</i>		Background records not filed in the	Cut off files
after		Official Discrimination Complaint	resolution of
case.		Case Files. Destroy 2 yrs. after final resolution of case. (GRS	1/26.c)
	d.	Compliance Records.	
17530		1) Compliance Review Files.	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II	
	October 27, 1993	21-II:20		

Destroy		Reviews, background papers, and correspondence relating to	Cut off files annually.
Desiroy		contractor employment practices.	when 7 yrs. old. (GRS 1/26.d.(1)
17540	2)	EEO Compliance Reports.	Cut off files annually. Destroy when 3 yrs. old. (GRS 1/26.d.(2)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.	
	21-II:20	October 27, 1993	6A-179	

XVII. PERSONNEL RECORDS

17550	e.	Employee Housing Requests.	
Destroy		Forms requesting Agency assistance in housing matters, such as rental	Cut off files annually.
Destroy		or purchase. when 1 year old. (GRS 1/26.e)	
17560	f.	Employment Statistics Files.	
		Employment statistics relating to race and sex. annually. Destroy when 5 yrs. old. (GRS 1/26.f)	Cut off files
17570	g.	EEO General Files.	
Doctroy		General correspondence and copies of regulations with related records	Cut off files annually.
Destroy		pertaining to the Civil Rights Act	when 3 yrs.
old, or		of 1964, the EEO Act of 1972, and any	w h e n
supersed		pertinent later legislation; and	obsolete,
whichever		Agency EEO Committee meeting records including minutes and reports.	is applicable. (GRS 1/26.g)
	h.	EEO Affirmative Action Plans (AAP).	
17580		1) Agency copy of consolidated AAP(s).	Destroy 5 yrs. from date to plan. (GRS 1/26. h.(1)
17590 from		2) Agency feeder plan to	Destroy 5 yrs.
пош		consolidated AAP(s).	date of feeder plan or when administrati ve purposes have been serviced,

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

whichever is sooner. (GRS 1/26. h.(2)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.	
	21-II:20	October 27, 1993	6A-181	

XVII. PERSONNEL RECORDS

Personnel Counseling Records

	Personnel	Counseling Records	
17600	a. Cou	inseling Files.	
after	Repo	orts of interviews, analyses and	Cut off files
anei	relat	ted records. termination of counseling. Destroy 3 yrs. after cut-	off. (GRS 1/27.a)
17610	b. Alco	ohol and Drug Abuse Program.	
Destroy		ords created in planning, coordin- g and directing an alcohol and	Cut off files annually.
20009	drug	g abuse program.	when 3 yrs. old. (GRS 1/27.b)
17620	Standards	of Conduct Files	
obsolete	Correspon	ndence, memoranda and other	Destroy when
obsorcie		lating to codes of ethics ards of conduct.	or superseded. (GRS 1/28)
	Labor Mar	nagement Relations Records	
		or Management Relations General Case Files.	
	and relat	respondence, memoranda, reports other records relating to the tionship between management and bloyee unions or other groups:	
17630	1)	Office negotiating agreement.	Cut off files annually. Destroy when 5 yrs. old. (GRS 1/29.a(1)
17640	2)	Other offices.	Destroy

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

w h e n superseded or obsolete. (GRS 1/29. a.(2)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-183

XVII. PERSONNEL RECORDS

17650	b.		r Arbitration General and Files.	
after		Corre	espondence, forms, and background	Cut off files
case.		paper	rs relating to labor arbitration	resolution of
cusc.		cases	Destroy 5 yrs. after final resol (GRS 1/29.b)	ution of case.
	Train	ning Re	<u>ecords</u>	
	a.	Train	ing Aids.	
17660 Transfer		1)	One copy of each manual, syllabus,	Permanent.
			textbook, and other training aid	NARA in 5 yr.
blocks			developed for Agency specific	when most
recent			training. record is 10 yrs. old.	
17670		2)	Training aids developed for administrative or facilitative training (WANG, Mgt.).	Destroy when superseded.
	b.	Gene	ral file of Agency-sponsored training.	
17680		1)	Correspondence, memoranda, agreements, authorizations, reports,	Cut off files annually or
after			requirement reviews, plans, and	completion of
train-			objectives relating to the estab-	ing. Destroy
when			lishment and operation of training,	5 yrs. old or
5 yrs.			courses and conferences.	a f t e r completion of a specific training program. (GRS 1/30.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

b.(1)

17690

2) Background and workpapers.

But off files annually. Destroy when 3 yrs. old. (GRS 1/30.b.(2)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.	
	21-II:20	October 27, 1993	6A-185	

XVII. PERSONNEL RECORDS

17700	c.	Employee training.	
Destroy		Correspondence, memoranda, reports and other records relating to the	Cut off files annually.
J		availability to training and employee	when 5 yrs. old
or supersed	lad or	participation in training programs	w h e n
whichev		sponsored by other government agencies	obsolete,
winchev	CI	or non-government institutions.	is sooner. (GRS 1/30. c)
17710	d.	Course Announcement Files.	
gupor.		Reference file of pamphlets, notices,	Destroy when
super- obsolete		catalogs and other records which	seded or
obsolete	•	provide information on courses or programs offered by government or non-government organizations.	(GRS 1/30.d)
		evance, Disciplinary and Adverse on Files	
17720	a.	Grievance, Appeals Files (5 CFR 771).	
vyh on		Records originating in the review of	Cut off files
when		grievance and appeals raised by Agency	case is closed.
ofter		employees, except EEO complaints.	Destroy 5 yrs.
after		These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.	case is closed. (GRS 1/31.a)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-187

XVII. PERSONNEL RECORDS

17730	b.	Adverse Action Files (5 CFR 752).			
when		Case files and related records created	Cut off files		
		in reviewing an adverse action (disciplinary or non-disciplinary	case is closed. Destroy 5 yrs.		
after		removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.	case is closed. (GRS 1/31.b)		
17740	Pers	sonal Injury Files			
Dogtroy		ms, reports, correspondence, and ted medical and investigatory records	Cut off files annually.		
Destroy old.	rela	relating to on-the-job injuries, whether			
old.	EXO Pers	oot a claim for compensation was made, CLUDING copies files in the Official sonnel Folder and copies submitted to Department of labor.	(GRS 1.32)		
17750	Mei	rit Promotion Case Files			
when	Rec	ords relating to the promotion of an	Cut off files		
	indi	vidual that document qualification	case is closed.		
after	stan	dards, evaluation methods, selection	Destroy 2 yrs.		
action	prod	cedures, and evaluation of candidates,	the personnel		
audited b		CLUDING any records that duplicate	has been		
whichev	information in the promotion plan, in the $$\operatorname{\textsc{O}}$ P M , whichever is$				

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Official Personnel Folders, or in other

sooner. (GRS

1/33) personnel records.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-189

This Chapter covers records pertaining to AID operations regarding procurement of commodities, services, and supplies for Agency assistance programs and for administrative needs.

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

18010 Unique Procurement Files

Procurement files (as in Item 18030-

Send report

of files

18060 below) documenting the initiation

t o

M/SER/MO/PA/RM.

and development of transactions that deviate from established precedents with respect to general Agency procurement programs.

Real Property Files

(See Chapter XVI GENERAL SUPPORT SERVICES RECORDS, Item 16630)

18020 General Correspondence Files

Correspondence files of operating procurement units concerning internal

Cut off files annually.

Destroy

operations and administration matters

when 2 yrs.

old.

not covered elsewhere in this schedule.

(GRS 3/3)

Routine Procurement Files

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Items 18010 and 16630).

a. Procurement or purchase organization copy, and related papers.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-191

18030 1) Transactions of \$25,000 and all Cut off files after construction contracts exceeding final payment. Hold \$2,000. in office 3 yrs. then retire to WNRC. Destroy 6 yrs. and 3 months after final payment. (GRS 3/4.a) 18040 Transactions of \$25,000 or less Cut off files 2) after and construction contracts under payment. (Close file \$2,000. at the end of the fiscal year, retain 3 yrs. and destroy, except that files on which actions are pending shall be brought forward to the next fiscal year's files for destruction there- with.) 18050 h. Obligation copy. Destroy when funds r obligated. 18060 c. Other copies of records described Destroy upon terminabove used by component elements ation or completion. of a procurement office for administrative purposes.

Supply Management Files

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

18070	a.	Copies received from other units for internal purposes or for transmission	Cut off files annually.
Destroy		to staff agencies.	when 2 yrs. old. (GRS 3/5.a)
18080	b.	Copies in other reporting units, and related work papers.	Cut off files annually. Destroy when 1 year old. (GRS 3/5.b)
		cited and Unsolicited Bids and osals Files	
18090	a.	Successful bids and proposals.	Destroy with related contract case files (see item 18030-180 60 above). (GRS 3/6.a)
	b.	Solicited and unsolicited unsuccessful bids and proposals.	
18100 related		1) When files separately from	Destroy when
related		contract case files.	contract is completed. (GRS 3/6.b. (1)
18110		2) When files with contract case files.	Destroy with related contract case files (see items 18030-18060

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-193

a b o v e) . (GRS 3/6.b. (2)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

c. Cancelled Solicitations Files

Cut off files 18120 1) Formal solicitations of offers after to provide products or services date of cancellation. (e.g., Invitations for Bids, (GRS 3/6.c.(1) Requests for Proposals, Request for Quotations) which were cancelled prior to award of a contract. The files include presolicitation documentation on the requirement, and offers which were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation. Return to 18130 2) Unopened Bids. bidder. (GRS 3/6.c.(2)18140 Telephone Records Telephone statements and toll slips. Destroy 3 yrs. after period covered by related account. (GRS 3/11) 18150 Contractors' Payroll Files Cut off files Contractors' payrolls (construction contracts) submitted in accordance with annually. Destroy Labor Department regulations, with 3 yrs. after date of related certifications, anti-kickback completion of contract

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-195

affidavits, and other related papers.

unless contract performance is subject of enforcement action on such date. (GRS 3/12)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

18160 <u>Tax Exemption Files</u>

Tax exemption certificates and related papers.

Destroy 3 yrs. after period covered by related account. (GRS 3/13)

18170 <u>Contractor's Statement of Contingent or</u>

Other Fees

Standard Form 119, Contractor's Statement

Destroy when

super-

of Contingent or Other Fees, or statement

seded,

obsolete, or no

in lieu of the form, filed separately

longer needed,

which-

from the contract case file and maintained for enforcement or report purposes.

ever is sooner. (GRS 3/20)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-197

XIX. SECURITY AND INSPECTOR GENERAL RECORDS

The records described in this Chapter pertain to security and protective services created a) to control and protect classified information and government facilities from unauthorized entry, sabotage or loss and b) to determine the future and loyalty of individuals employed by the government; and records accumulated by the Inspector General's Office pertaining to inspections, investigations and audits performed to ensure Agency-wide compliance with Federal law and regulations and Agency regulations; to reduce waste and fraud and to improve Agency operations.

ITEM NO DISPOSI		AUTHORIZED
	Security Files	
19010	Identification Unit Files	
IDa arra	These files contain Agency Employee ID	Destroy when
IDs are	photos and cards. The cards are renewed	renewed or
after	and new photos made periodically (5 years).	termination o f employee, whichever is sooner.

Personnel Security Clearance Files

Personnel security clearance case files and related indexes maintained by the personnel security office of the employing agency.

19020 a. death	a.	Case files documenting the processing of investigations on employees or	Destroy upon notification of
		applicants for employment; whether or not a security clearance is granted,	or not later than 5 yrs. after
separa- of		and other persons, such as those	tion or transfer
not later		performing work for the Agency under	employee or
con-		contract, who require an approval	than 5 yrs. after
C 011			

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

before having access to Government

t r a c t

relationship

facilities or to sensitive data.

expires,

whichever is

These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigation agency.

applicable. (GRS 18/23.a).

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-199

XIX SECURITY AND INSPECTOR GENERAL RECORDS

19030 accordan	b.	Investigative reports and related	Destroy in
		furnished to agencies by investigative	with the
investiga		organizations for use in making	a g e n c y
instructio	ons.	security/suitability determinations.	(GRS 18/23.b)
19040 related	c.	Index to the Personnel Security Case Files.	Destroy with
(GRS			case file.
(= = ==			18/23.c)
19050	Pers	onnel Security Clearance Status Files	
		s or rosters showing the current urity clearance status of individuals.	Destroy when superseded or obsolete.
(GRS 23	3/34)		
	Secu	urity Violations Files	
	alleg laws	e files relating to investigations of ged violations of Executive Orders, s, Agency regulations for the safe-rding of national security information.	
19060 close	a.	Files relating to alleged violations	Destroy 5 after
23/25e.)		of a sufficiently serious nature that	of case. (GRS
23/236.)		they are referred to the Departments of Justice or Defences for prosecutive determinations, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.	
19070 after	b.	All other files, exclusive of papers	Destroy 2 yrs.
final		placed in official personnel folders.	completion of

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

action or when

no

longer needed, which-

ever is sooner.

(GRS

23/25.b

Contractor Security Clearance Files

Files of institutions and organizations performing work for the Agency, under contract, which require an approval before having access to government facilities or to sensitive data.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-201

XIX SECURITY AND INSPECTOR GENERAL RECORDS

19080	a.	University Contracts Files	
ofton		Contract folders containing records	Destroy 5 yrs.
after	hin	of release information (review of	contract
relationship		personnel), resumes, record check requests, name check requests, requests for approval for building passes and other related papers.	expires.
19090	b.	Firms and Organizations	
after		Files contain: Security investigative	Destroy 5 yrs.
	hin	reports, credit reports, Dunn &	contract
relations	mp	Bradstreet reports, letters, memoranda, name check requests, records checks, request for clearance and other related documents.	expires.
19100	<u>Inve</u>	estigators' Working Files	
	The	estigators' Working Files se files are used as reference material	Destroy when
no longe	Thes		Destroy when needed for
	Theory by the case men and docu	se files are used as reference material	•
no longe	Theory by the case men and docu of S	se files are used as reference material the investigators in preparation of es. Files may contain extra copies of nos, letters, drafts, reports, telegrams, other personal notes. The official amentation is maintained in the Office	needed for
no longe	These r by the case men and docu of S	se files are used as reference material the investigators in preparation of the second	needed for
no longe reference	There is a by the case men and doct of S Inve	se files are used as reference material the investigators in preparation of es. Files may contain extra copies of nos, letters, drafts, reports, telegrams, other personal notes. The official umentation is maintained in the Office ecurity official files. estigations, Inspections and Audit Files	needed for
no longe	These r by the case men and doct of S Inve	se files are used as reference material the investigators in preparation of the second	needed for (non-record)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

for

Inspections. The files contain reports 2 yrs., then

retire to

of investigations and inspections WNRC.

Destroy when

including violations of Title 18 and or
other criminal or civil matters affecting
the United States, possible violations of
AID regulations, and other related

15 yrs. old.
(GRS 25/3.b)

documents.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-203

XIX SECURITY AND INSPECTOR GENERAL RECORDS

19120	Audit Reports File	
with	The series consists of individual audit case files which are filed by unique audit sequence numbers. The case files consist	Close file after compliance
year, ther	ndations. of: the audit report, correspondence,	Hold for 1 retire to
19130	Audit Recommendation Files	
D	This series is a follow up system on outstanding replies to audit reports and	a. Open
Destroy	is used to assure appropriate implementation of recommendations. The series	Close file upon compliance.
old.	contains both open and closed recommend-	when 5 yrs.
oia.	ation files. b. Closed	Recommen dations: Destroy when 5 yrs. old.
19140	Inspectors Working Files	
no longer	This series covers reference material	Destroy when
reference	used by the Inspectors in conducting	needed for
reference	investigation and inspections. The official case files are maintained by the IG/II file room.	(non-record)
19150	Program Subject Files	
	Subjects pertaining to AID program	Cut off at end

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

of

and/or functions for which the office

Destroy

exists.

fiscal year.

when 5 yrs. o 1 d . (NC1-286-85-7)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-205

XX. SECURITY AND INSPECTOR GENERAL RECORDS

This Chapter covers records pertaining to the movement of goods and persons under Government orders. The recordkeeping involved in the movement centers around bills of lading, transportation requests, vouchers, and associated records, including those prescribed in Title 5 of the General Accounting Office Policy and Procedures Manual. Copies of some records used to support payments become part of the accountable officers' accounts, or are accounting posting media. There disposition may be covered by items in Chapter XV. FISCAL MANAGEMENT FILES.

ITEM NO. DESCRIPTION OF RECORDS DISPOSITION

AUTHORIZED

annually.

Freight Files

Records relating to freight consisting of export certificates, demurrage card record books, shipping documents pertinent of freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records relating to the shipment of household goods.

than those identified in item 20040.

20010 after	a.	Issuing office memorandum copies other	Cut off files
arter		than those identified in item 20040.	period covered by account. Destroy 3 yrs. after the period of the account. (GRS 9/1.a)
20020	b.	All other copies.	Cut off files annually. Destroy when 1 year old. (GRS 9/1.b)
20030	c.	Registers and control records other	Cut off files

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Destroy when 3 yrs. old. (GRS 9/1.c)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-207

XX. SECURITY AND INSPECTOR GENERAL RECORDS

20040 covered	d.	Records, including registers and control reports, on international	Cut off files after period
Destroy		shipments of household goods moved	by account.
Desiroy		by freight forwarders.	6 yrs. after the period of the account. (GRS 9/1.d)
20050	Lost	or Damaged Shipments Files	
Destroy		edules of valuables shipped, espondence, memoranda, reports,	Cut off files annually.
•	and	when 3 yrs.	
old.		inistration of the Government Losses nipment Act.	(GRS 9/2)
	Pass	enger Transportation Files	
	mem requ trans	norandum copies of vouchers (SF 1113A), norandum copies of transportation ests (SF 1169), travel authorizations, sportation request registers, and all porting papers.	
20060	a.	Issuing office memorandum copy.	Cut off files annually. Destroy when 3 yrs. old. (GRS 9/3.a)
20070	b.	Obligation copy.	Destroy when funds a r e obligated. (GRS 9/3.b)
20080	c.	Unused ticket redemption forms, such	Destroy when

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

no longer

as SF 1170. needed for administrative use. (GRS 9/3.c)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-209

XX. SECURITY AND INSPECTOR GENERAL RECORDS

Cut off files

Passenger Reimbursement Files

20090

Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.

Travel administrative office files.

20070	a.	Traver administrative office files.	annually. Destroy when 3 yrs. old. (GRS 9/4.a)
20100	b.	Obligation copies.	Destroy when funds a r e obligated. (GRS 9/4.b)
	<u>Gen</u>	eral Travel and Transportation Files	
20110	a.	Correspondence, forms, and related records pertaining to Agency travel	Cut off files annually.
Destroy old.		and transportation functions, not	when 2 yrs.
		covered elsewhere in this schedule.	(GRS 9/5.a)
20120	b.	Accountability records.	Destroy 1 year after all entries are cleared. (GRS 9/5.b)

XXI. EUROPE AND NEW INDEPENDENT STATE RECORDS

ITEM NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

* 30010 Administrative Files

This series documents the daily administrative needs and functions of the office. The series consists of files covering such subject matters as: general administrative matters, budget planning and approvals, funds accounting and general audit instructions, routine housekeeping and office supply needs, personnel information, procurement and contracting instructions and travel guidance. The files contain incoming and outgoing correspondence (letters, memo, cables, etc.) notices, forms, reports.

Cutoff at end of fiscal year of creation Hold in active office space for 1 year after cutoff, then retire to WNRC. Destroy when 3 years old.

*30020 Program Files

This series consists of technical subjects. Files contain documents relating to U.S. economic assistance programs within Europe and the New Independent States regions, including those being implemented by other U.S. Government Agencies with USAID financing. Including program documentation, goals, strategies, and objectives, assessments, tracking of the status of obligations, analysis reports. Correspondence consists of incoming and outgoing cables, reports, letters, memos, notices, etc.

Permanent. Cutoff at the end of fiscal year of creation. Hold in active office space for two years after cutoff, then, retire to WNRC. Transfer to National Archives when 10 years old in 5 years block.

*30030 Policy Files

This series consist of letters, memos, directives on U.S. Economic Assistance policy within the Europe and the New Independent States Regions. Including Briefing, follow-up reports, Congressional, General Counsel(GC)Rulings, etc.

Permanent: Cutoff at the end of fiscal year of creation. Hold in active office for 5 years, then transfer to WNRC. Transfer to National Archives when 10 years in 5 years block.

U.S. Economic Assistance Project

*30040 a.Core Project Documents

Consists of Project Decision Paper, or PAAD, Interagency Coordinating Committee Minutes, Project Authorization Memorandum, and any waivers and correspondence addressed. Permanent: Cutoff after Project Activity Completion (PACD) and transfer to WNRC. Offer to National Archives when 10 years old in 5 years block.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-211

Implementation Agent Files: Records consist of project implementation orders such as PIO/Ts, PIO/Cs, PIO/Ps or other usual project funding reservation documents with the interagency agreements. Also, funding documents and implementing agent are a combination of files following the core project documents under each project. The funding mechanism is grant, contract, IQC, IAA, transfer or equivalent. The implementing agent is grantee, contractor, cooperating agency, and equivalent. It includes all waivers, progress reports, and cables or other correspondence concerned solely with the particular funding activity.

Cutoff files after PACD, hold in office for 2 years, then retire to WNRC. Destroy 6 years after termination of project.

*30060 c. Reports/Implementation

Reviews/Audits/Evaluations: Records consist of project monitoring, review, and evaluation documents. Others include copies of press releases, news accounts, or articles concerning the project.

Permanent: Cutoff 1 year after Project Activity Completion (PACD) and transfer to WNRC. Offer to National Archives when 10 years old in 5 year blocks.

ENI Overseas Missions

These records related to project assistance in Europe and the Independent States. Since this function is centralized in the ENI Bureau, USAID/Washington, most of the records described below are only record copies that are maintained in USAID/W and therefore are held in the offices.

*30070 Technical Assistance Project Files

Copies of basic project documents and related correspondence is pertaining to projects for which assistance and project coordination only was provided.

Cutoff when project is completed. Destroy after project is completed.

Overseas ENI Missions Economic Assistance Project

Copies of basic project documents and related correspondence pertaining to projects designed, developed, and managed in ENI Regional Missions. The official files station for these records is in Headquarter, Washington. All original documents should be forwarded to ENI in Washington.

- *30080 a. Core Project Documents: Consists of Project Decision, Interagency or Coordinating Paper, Committee Minutes, Project Authorization Memorandum, and any waivers and correspondence addressed to the overall project.
 - b. Funding Documents & Funding Mechanism:
 Implementation Agent Files: Records consist of

Cutoff when project is closed. Destroy 1 year after project completion. For those records which are known to be duplicative of records in ENI in Washington,

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

project implementation order such records as PIO/Ts, PIO/Cs, PIO/Ps or other usual project funding reservation document with the attachment of interagency agreements. Also, funding documents and implementing agent are a combination of files following the core project documents under each project. The funding mechanism is grant, IQC, IAA, transfer, or equivalent. The implementing agent is grantee, contractor, cooperating agency, and equivalent. It includes all waivers, progress reports, and cables or other correspondence concerned solely with files for transfer to particular funding activity.

c. Reports/Implementation Reviews/Audits/Evaluations: Records consist of project monitoring, review, and evaluation documents. Others include copies of any press releases, news accounts, or articles concerning the project.

transfer remainder
of the project
files to the ENI
in Washington
1 year after
project is
completed. ENI
Bureau will incorporate
in office ENI/PD
files for transfer
to WNRC.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-213

APPENDIX 6A

INDEX TO AID/W SCHEDULE

Page No.Effective DateTrans. Memo. No.AID Handbook 21-IIOctober 27, 199321-II:20

INDEX

RECORDS DISPOSITION SCHEDULE - AID/W

PAGE NO. IN APP. 6A

-A-

Accountable Officer Account Files58			
Administrative Files, Foreign Disaster Assistance46			
Administrative Files, FOIA17			
Administrative Files, General1			
Administrative Management Records51			
Administrator and Assistant Administrator, Records			
Advisory Committee on Voluntary Foreign Aid Records49			
Agricultural Commodity Files24			
Agricultural Project Case Files, BIFAD50			
Appeals Files, FOIA15			
Audit Recommendation Files101			
Audit Report Files12			
Audio Visual Files17			
Awards, Employee83			
-В-			
Bilateral Agreements, Title II Files23			
Biographical Files on Senior AID Officials21			

AID HANDBOOK 21-II

Trans. Memo. No.

Effective Date

Page No.

21-II:20

October 27, 1993

6A-215

Board for International Food and Agricultural Development (BIFAD) Records50
Bond Registration Files65
Briefing Files, Geographic Bureau26
Budget Records6
Budget Submission Files, Annual6
Building Services Records
-C-
Cable or Telegram Files2
Certificate of Settlement Files60
Chronological Files
Claims Files62
Color Slides19
Communication Center, AID/W2
Company Correspondence Files, PRE
Congressional Correspondence Files27
Congressional Presentation

Effective Date

October 27, 1993

Trans. Memo. No.

21-II:20

AID Handbook 21-II

Contractor Payroll Files97	
Control Files, FOIA16	
Correspondence Files	
Correspondence Files, Personnel Records80,	85
Country Development Strategy Statement (CDSS) File	26
-D-	
Development Assistance Project File original silver master microfilm and silver duplicate computerized index to project8	8
Directives51	
Disclosure Reports, Financial28	
Donor Coordination Files32	
-E-	
Emergency Planning administrative correspondence files	6
Employee Awards Files83	
Employee Performance File System Records8	6
Employee Record Cards81	
Employee Service Files63	
Employee Training92	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-217

Effective Date

October 27, 1993

Trans. Memo. No.

21-II:20

AID Handbook 21-II

Employment Applications85
Equal Employment Opportunity Records
Equipment and Supplies Records72
Expenditure Accounting Files62
External and Public Affairs Records14
-F-
Feasibility Studies
Film Strips20
Financial Disclosure Reports28
Financial Files, GeneralGeographic Bureaus25
Fiscal Management Records58
Fiscal Schedule Files67
Flexitime Attendance Files64
FOIA
Food for Peace and Voluntary Assistance (FVA) Records22
Food for Peace Files23
Foreign Disaster Assistance Records46
Forms Files52
Freedom of Information Act (FOIA)14 (see FOIA)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-219

Page No. Effective Date

Trans. Memo. No.

AID Handbook 21-II

October 27, 1993 21-II:20

Freight Files
FVA Grant Files
-G-
GAO Exception Files60
General Administrative Files1
General Subject Correspondence Files, Administrator13
General Support Services Records70
Geographic Bureau General Records25
Grant Application Files, Science Advisor35
Grant Files, FVA
Grievance, Disciplinary and Adverse Action Files92
-Н-
Housing and Urban Development Project Files31
Housing Guaranty Programs31 shelter activities31
-I-
Identification Unit Files98
Incentive Awards Program Reports84
Inquiries, Public4, 14
Inspectors' Working Files101
-M-
Management Improvement Deports 52

AID HANDBOOK 21-II	AID HANDBOOK 21-II Trans. Memo. No.		Page No.
	21-II:20	October 27, 1993	6A-221

Mandatory Classification Review (MCR) Files

14

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

	PAGE NO. IN
Medical Case Files	<u>APP. 6A</u> 86
Meeting Files, BIFAD	50
Merit Promotion Case Files	93
Motion Pictures	18
Motor Pool Operation Files	74
Multilateral Development Banks Files	33
	-N-
National Advisory Council on Internatio and Financial Policies Files	nal Monetary 33
News and Media Relations Files	17
Non-Project Assistance Records	10
Notices, Quasi-official	4
Notification of Personnel Actions	84
	-O-
Ocean Freight Files	22
Official Administrative Files	1
Organizational Files	55
Ocean Freight Files	22
Official Administrative Files	1
Organizational Files	55
	-P-
Participant Training	41-45
Participant Training Directories	43

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-223

Effective Date

October 27, 1993

Trans. Memo. No.

21-II:20

AID Handbook 21-II

Pay Case Files, Individual65
Passenger Transportation Files
Payment Files68
Payroll Correspondence Files64
Payroll Files66
Personal Injury Files93
Personnel Correspondence Files80
Personnel Counseling Records90
Personnel Files79
Personnel Records79-93
Personnel Security Clearance Files98
Photography, Still19
Policy Files, Foreign Disaster Assistance47
Position Classification Files81
Position Descriptions82
Project Files, PRE30
Private and Voluntary Cooperation Files22
Private Enterprise (PRE) Records30
Procurement and Contracting Records94
Procurement Files, Non-Project Programs
Procurement Files, Routine94
Program Correspondence Files, Country Desk25

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-225

Effective Date

October 27, 1993

Trans. Memo. No.

21-II:20

AID Handbook 21-II

Program and Policy Coordination Records32
Program Evaluation Files33
Program Files, Foreign Disaster Assistance
Program (Non-Project) Procurement Files10
Program Subject Files, Security and IG101
Project Assistance Records
Project Control Files53
Project Evaluation Summaries (PES) Files34
Project Plan and Engineering Files9
Protection, Building70
Public Relations Files21
Public Inquiries Files14
Publications Files
-R-
Real Property Files78
Records Disposition Files
Records Holding Files53
Records Management Files54
Report Files, FOIA16
Reports Control Files54

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-227

Effective Date

October 27, 1993

Trans. Memo. No.

21-II:20

AID Handbook 21-II

Reproduction and Distribution Services Files75
Requests for Information or Publications4
Research Advisory Committee (RAC) Files
Research Studies Files
Resource Support Services Agreement Files, S & T39
RSSA39
-S-
S & T Project Files36
S & T Records36
Schedule of Daily Activities
Science Advisor Records35
Science and Technology Records36
Sector Council Files
Security and Inspector General Records98
Security Files contractor clearance
Security Violation Files
Shelter Activities, PRE31
Solicited and Unsolicited Bids and Proposal Files96
Space Files76
Standard of Conduct Files90

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-229

Effective Date

October 27, 1993

Trans. Memo. No.

21-II:20

AID Handbook 21-II

Status Report on Loans, Private Sector30
Still Photography11
Subject Correspondence Files
Supply Management Files95
Surety Bond Files, Federal Personnel61
-T-
Tax Exemption Files
Technical Project Feasibility Studies9
Technical Reference Files4
Telegram Files
Telephone Records97
Telephone Use Records71
Title I & III Voluntary Agency Agreement Files23
Title II Bilateral Agreements23
Training Conference Materials, Participant Training44
Training Records91
Transitory Files4
Transportation Voucher Files62
Travel and Transportation Records102
Travel Files, Employee3

AID HANDBOOK 21-II Trans. Memo. No. Effective Date Page No. 21-II:20 October 27, 1993 6A-231

PAGE NO. IN APP. 6A

-U-

Unsolicited Project Proposals, S & T	36
	-V-
Video Tapes, Original	17
Voluntary Agency Ocean Transportation Files.	24
Voluntary Foreign Aid Advisory Committee R	Records49
	-W-
Wage Survey Files	68

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Appendix 6B

INTRODUCTION

RECORDS DISPOSITION SCHEDULE - U.S. AID

- A. <u>Purpose</u>: The Records Disposition Schedule contained in this appendix constitutes the sole authority for the retention and disposition of records at U.S. AID Missions, except in emergencies (see Paragraph I). Guidelines and procedures for implementing a records disposition program are given in Chapter 6, Handbook 21, Part II. Some information is repeated below for the convenience of the schedule user. This schedule has been approved by the National Archives and Records Administration under Job # NC1 286-85-4.
- B. <u>Application of Schedule</u>: AID Principal Officers are responsible for the proper application of disposal authorizations to records in their custody. Any questions concerning a disposal authorization or its application should be referred to the Records Management Branch AID/W, M/SER/MO/PA/RM.
- (1) <u>Scope</u>: The disposal authorizations contained in this schedule apply to records of the type described regardless of the physical location at the U.S. AID, e.g., central files; officially decentralized files; or working files. The authorizations apply to both classified and unclassified records unless otherwise specified. Care should be exercised in applying the Schedule. If the U.S. AID finds it necessary or desirable to retain records for either a shorter or longer period of time than that prescribed in the Schedule, it must seek authorization from the Records Management Branch. Such requests should provide a detailed justification for the exception.
- (2) Exceptions: Records pertaining to claims and demands by the Government of the United States or against it, or to any accounts in which the Government of the United States is concerned, either as debtor or creditor, shall not be destroyed under any disposal authorizations until such claims, demands, or accounts have been settled and adjusted in the General Accounting Office, except upon written approval of the Comptroller General of the United States. Records having value in connection with any pending or prospective litigation must be retained until such litigation has been terminated. U.S. AIDs receiving requests for records or information therefrom in connection with litigation shall immediately inform the Office of the General Counsel. Posts are responsible for insuring against inadvertent destruction of any records of the types described above by segregating them from other files which may be destroyed under normal disposal procedures.
- C. <u>Distribution</u>: Distribution of the disposition schedule should be made so that all personnel having responsibility for records management or operations will have a copy or ready access thereto. It is the responsibility of the Records Management Liaison Officer to provide necessary distribution of the Records Disposition Schedule.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-233

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

- D. <u>Arrangement</u>: the Schedule has been developed for the major functional records groups and is arranged accordingly. In several instances the same disposal authorization has been listed under two or more functional headings because of organizational and records maintenance variations at different U.S. AIDs. Any record not authorized for disposal should be brought to the attention of the Records Management Branch.
- E. <u>Description of Records</u>: Each type of record included in the disposition schedule is described as precisely as possible to permit easy identification and to eliminate the need for paper-by-paper screening.
- F. <u>Disposition Instructions</u>: The disposition instructions for the majority of items listed in the Schedule provides for destruction after a specified period of time. The retention period given is to be applied regardless of whether the files is blocked by fiscal or calendar year. When transfer or retirement is specified, the procedures specified in Handbook 21, Part II are to be followed.
- G. <u>Method of Destruction</u>: All classified and administratively controlled records authorized for destruction shall be destroyed in accordance with the provisions of Handbook 6. For the purpose of destruction, certain types of unclassified records such as personnel, or records containing detailed biographical data or any other records that might prove embarrassing or detrimental to perations if they were to fall into unauthorized hands shall also be treated as classified. The security regulations themselves to not constitute authority for the destruction of records, but only prescribe the methods by which destruction shall be accomplished. Unclassified material authorized for destruction, with the exceptions indicated above, may be destroyed, sold as waste paper, or otherwise disposed of in a manner consistent with local practices and security requirements.
- H. <u>Record of Destruction</u>: A record of the type and the volume of material destroyed should be maintained by personnel responsible for the records. A log showing the record series title (shown in the Schedule) of the records destroyed, the inclusive dates and the volume will suffice.
- I. <u>Emergency Destruction</u>: Posts are authorized to destroy records in the event of extreme emergency or evidence of the possible development of such an emergency, in accordance with instructions governing emergencies.

AID HANDBOOK 21-II Trans. Memo. No.		Effective Date	Page No.
	21-II:20	October 27, 1993	6A-235

TABLE OF CONTENTS

RECORDS DISPOSITION SCHEDULE - U.S. AID

<u>Chapter</u>	<u>Page</u>
25	General Records 1
26	Project Assistance Records 4
27	Non-Project Assistance Records 7
28	Food For Peace Records 9
29	Housing and Urban Development Records
30	Economic Development Services Records 12
31	Administrative Management Records 13
32	Audit, Investigation, and Inspection Records
33	Budget Records 16
34	Communications and Records Management 17
35	Financial Management Records 20
36	Motor Vehicle Maintenance and Operations Records
37	Personnel Records 32
38	Procurement and Supply Records 38

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Property Records 42

Travel and Transportation Records 45

AID HANDBOOK 21-II Trans. Memo. No. Effective Date Page No. 21-II:20 October 27, 1993 6A-237

RECORDS DISPOSITION SCHEDULE - U.S. AID

CHAPTER 25

GENERAL RECORDS

These are records common to several or all overseas offices.

ITEM NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

General Correspondence Files (Centralized or Decentralized)

Letters, cables, messages, memoranda, economic or other studies and reports, forms and other data documenting and/or implementing plans, policies, procedures, decisions and accomplishments pertaining to AID programs and staff activities. The documents described in a) and b) below are arranged by subject (i.e., the thought conveyed in the document) using the agency file classification system as contained in AID Handbook 21, Part II.

25010 a. Office Program Subject Files

Subjects pertaining to AID programs Permanent. Cut off and/or functions for which the office files annually. When 2 exists. yrs. old transfer to

AID/W and retire to WRNC. Transfer to NARA in 5 yr. blocks when most recent records are 20 yrs. old.

25020 b. Office Administrative Subject Files

Subjects pertaining to routine internal management or general administration (budget, personnel, procurement, etc.) rather than the function for which the office exists.

Cut off files annually.

Destroy when 2 yrs. old, or sooner if purpose has been served.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

CHAPTER 25 GENERAL RECORDS

25030 c. Country Files

Documents of a general nature pertaining Cut off files annually. to various aspects of the foreign aid Destroy when 3 yrs. old. assistance program in various countries, arranged for convenience of reference alphabetically by the names of the various countries.

25040 Conference, Meetings and Seminar Files

These files consist of meeting agendas, minutes, statement papers, reports, and correspondence pertaining to international meetings at which U.S. AID staff is represented. Arranged chronologically and thereunder by subject of meeting. (Volume of records accumulated annually negligible. Volume of records accumulated to date unknown.)

files annually. When 2
yrs. old transfer to
NARA in 5 yr. blocks
when most recent records
are 20 yrs. old.

Reading, Chronological, and Cable Files

a. Extra copies of correspondence prepared maintained by the originating office, Destroy used solely as a reading or reference file or whe for the convenience of personnel.

Destroy when 1 yrs. old or when reference value has been exhausted, whichever is sooner. (NC1-286-82-2)

25060 b. Extra copies of incoming and outgoing Destroy when 1 yr. old, cables arranged chronologically. or when reference value has ceased, whichever is sooner.

NOTE: The authorized disposition for Action copies of correspondence and cables will be found in the applicable Schedule items describing the official records.

25070 Transitory Files

Papers of short term interest which have no documentary or evidential value and normally or sooner if purpose has

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-239

need not be kept more than 90 days. Examples of transitory correspondence are shown below:

been served. (GRS 23/4)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Chapter 25 GENERAL RECORDS

a) Request for Information or Publications

Routine requests for information or publications which require no administrative action, no policy decisions, and no special compilations or research for reply, such as requests for publications or other printed material.

b) <u>Letters of Transmittal</u>

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 or charity and welfare fund appeals, bond campaigns, and similar papers.

Reference Files

25080 a) Staff Working Files

Reference files maintained for convenience by individual staff members. Includes extra copies of project material and other records maintained in official AID files. Destroy when no longer needed for reference purposes. (GRS 23/6)

25090 b) <u>Reference Publication Files</u>

Extra copies of AID internal and/or Destroy when superseded, external directives, and pub- obsolete, or no longer lications issued by other Governnental purposes.

organizations maintained for reference within an office.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-241

CHAPTER 26

PROJECT ASSISTANCE RECORDS

relate to the AID Development Assistance records 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 development, agriculture, rural nutrition, family planning, health education and human resources, energy, private industry development, and science and technology. See Chapter 29 of this Appendix for Housing and Urban Development Project Files.

<u>ITEM NO.</u> <u>DESCRIPTION OF RECORDS</u> <u>AUTHORIZED DISPOSITION</u>

Project Files

to individual projects.

Case files on technical and capital assistance projects, consisting of studies, surveys, Project Identification Documents, Project Papers, loan and grant agreements and amendments, Project Implementation Orders, Project Implementation Letters, contracts, reports, and other related records and correspondence.

26010	a)	Loan Files	Cut off on project
26020	b)	Grant Files	(same as (a) above)
	Project Plan	<u>Files</u>	
26030	Copies of en	gineering plans relating	Destroy in accordance

with Item 26010 above.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-243

Chapter 26 PROJECT ASSISTANCE RECORDS

Participant Training Files

	Participant 113	anning Files	
26040	a)	Participant trainee case files, containing PIO/Ps, biodata, training plans, budgets, notice of return, course records, report, etc. to contain the property of the containing plans, budgets, notice of return, course records, report, etc.	Cut off on project activity completion date. Transfer pertinent summary data card files or computer tapes as appropriate. Destroy 3 yrs. after project activity completion date. (N1-286-89-1)
26050	b)	\mathcal{E}_1 3	Destroy upon termination of overseas office or no longer needed, whichever is sooner.
26060	c) summary data	\mathcal{E}_1 3	Destroy upon of overseas office or when no longer needed, whichever is sooner.
26070	d) data for each t	to com overse	Destroy upon of overseas office or when data is ransferred aputer tapes at eas offices, or when no longer needed, whichever is sooner.

Project Review Summary Reports 26080

Copies of summary progress reports and related correspondence on the implementation of all projects. Included in this item are similar types of recurring

Cut off annually. Destroy when 2 years

old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

reports on project implementation used at the discretion of individual missions.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-245

Chapter 26 PROJECT ASSISTANCE RECORDS

Country Development Strategy Statement (CDSS) File

26090	a) <u>Formal Statements</u> on the country	Destroy when 5 yrs.
	foreign aid assistance program old.	
	are submitted to AID/W annually	
	These statements are printed	
	bound and issued by AID/W	

16100	b)	<u>Workpapers</u>	Destroy when formal
			CDSS is issued.

26110 Project Procurement Advice Files

Reports and correspondence pertaining to advice provided project officers on procurement actions under project old.

Cut off annually.

Destroy when 3 years old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

CHAPTER 27

NON-PROJECT ASSISTANCE RECORDS

These records relate to Economic Support Fund activities and 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 PL 480 Title I and the Commodity Import Program. Cash transfers and sector assistance are also provided as non-project assistance.

ITEM NO. DESCRIPTION OF RECORDS AUTHORIZED DISPOSITION

27010 Program (nonproject) Procurement File

Case files of grant and loan agreements, implementation letters, letters of commitment and related documents and correspondence pertaining to program (e.g., Commodity Import Program) transactions.

Cut off at end of FY in which case is closed.
Hold at post 2 yrs. then transfer to AID/W and retire to WNRC. Destroy when 10 years old.

Commodity Import Programs (CIP) Files

27020 a) CIP Financial Files

Conformed copies of agreements, letters of commitment (L/C) and related correspondence and other financial documentation pertaining to individual agreements (Grants/Loans) under the CI Program.

Destroy 10 years after L/C is issued

27030 b) Statistical Reports Files

Copies of quarterly/monthly reports Cut off annually. containing basic financial information regarding the current status old.

Out off annually. Destroy when 5 years old.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-247

Chapter 27 NON-PROJECT ASSISTANCE RECORDS

27040	c)	CIP Concurrence Letters
		Copies of CIP letters of trans- action approval sent to private sector and public importers. Cut off annually. Destroy when 3 years old.
27050	d)	End Use Reporting Files
		Records of "end use" checks made by staff to determine proper use of program by host country under the loan/grant agreement. Also post 2 yrs. then included are correspondence and other documents containing retire to WNRC. Destroy follow-up information.
27060	e)	Damage/Loss Reports
		Reports and related correspondence pertaining to losses of or damage closed. Destroy 3 yrs. to cargo or commodities incurred in shipment. (GRS 9/2)
27070	f)	Distressed Cargo Files
		Reports and related correspondence Cut off when file is on cargo that is distressed, i.e., closed. Destroy 3 yrs. involved in customs or other problems resulting in delays in being released from the port.
27080	g)	Excess Property Files
		Files pertaining to procurement by host country importers of excess Federal property. Cut off annually. Destroy when 10 yrs. old.
27090	Country Deve	elopment Strategy Statement
	(CDSS) File	See Items 26090 and

(CDSS) File See Items 26090 and

26100 for authorized disposition instructions.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-249

CHAPTER 28

FOOD FOR PEACE RECORDS

These records relate to the implementation of the Food for Peace program under Titles I, II and III of Public Law 480.

ITEM NO.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

28010 General Files

Correspondence, reports and other documentation pertaining to the implementation of the FFP Program including vessel movement records, evacuation reports, vessel claims, etc.

Cut off annually.

Destroy when 6 years old.

28020 <u>Voluntary Agency Program (Title II)</u> Files

Correspondence, reports and other records regarding donation of agricultural commodities to needy people, refugee and child feeding, or extraordinary relief needs conducted by nonprofit voluntary agencies registered with the Committee on Voluntary Foreign Aid.

Cut off files annually. Destroy when 6 years old.

28030 Famine Relief and other Assistance Files

Correspondence, reports and other records relating to grants of surplus food under Title II, famine relief and other assistance direct to host governments.

Cut off files annually. Destroy when 6 years old.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Chapter 28 FOOD FOR PEACE RECORDS

28040 <u>Title I and III Implementation and Evaluation Files</u>

Correspondence and reports pertaining to the FFP Office's Implementation of the the provisions of Titles I and III and program evaluations reports. Cut off files annually.
Destroy when 6 years old.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-251

HOUSING AND URBAN DEVELOPMENT RECORDS

These records relate to project assistance to countries in the area of housing and urban development. Since this function is centralized in the Housing Office, AID, Washington, most of the records described below are only administrative copies of the record copies that are maintained in Washington and therefore are held in the overseas offices a relatively short period of time.

ITEM NO. DISPOSITION

DESCRIPTION OF RECORDS

AUTHORIZED

29010 Housing and Urban Development Project Files

Copies of guaranty authorizations, guaranty and loan agreements, implementation agreements, cost schedules, reports, financial data, request for disbursement and disbursement authorizations, progress reports, evaluation reports, technical data, and related documents and correspondence.

Cut off when project is completed. Destroy 1 yr. after project completion those records which are known to be duplicative of records in the Housing office in Washington. Transfer the remainder of the project file to the Housing office Washington (Code PRE/H) 1 yr. after project is completed. PRE/H will incorporate in official AID/W Housing files for transfer to Federal Records Center.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

ECONOMIC DEVELOPMENT SERVICES RECORDS

These records relate to regional areas' involvement in the form of assistance and coordination in economic development in smaller countries where AID has only small staffs to administer the foreign assistance programs. Records disposition instructions for project records for which Regional Economic Services Offices (REDSO) have direct project management responsibility are found in Chapter 26, Project Assistance Records, Items 26010 and 26020, of this Schedule.

<u>ITEM NO.</u> <u>DESCRIPTION OF RECORDS</u>

AUTHORIZED DISPOSITION

30010 Regional Technical Assistance Project Files

Copies of basic project documents and related correspondence pertaining to projects for which assistance and project coordination only was provided.

Cut off when project is completed. Destroy 1 yr. after project is completed.

AID HANDBOOK 21-II	HANDBOOK 21-II Trans. Memo. No.		Page No.
	21-II:20	October 27, 1993	6A-253

ADMINISTRATIVE MANAGEMENT RECORDS

<u>ITEM NO.</u> <u>DESCRIPTION OF RECORDS</u> <u>AUTHORIZED DISPOSITION</u>

Directives Files

Formal directives distributed as Mission Orders, Notices, Circulars, or in looseleaf manual form announcing changes in the Mission's policies and procedures.

31010	a)	Mission directives related to Mission's program functions. Arranged chronologically and thereunder by directive number. (Volume per yr. approximately 5 cu. ft.)	Permanent. Cut off at end of FY. Transfer to NARA in 5 yr. blocks when the most recent records are 20 yrs. old.
31020	b)	Mission directives related to routine administrative functions (e.g., payroll, procurement, personnel), and all Mission Notices and Circulars.	Destroy when superseded or obsolete.

Publications

Pamphlets, reports, leaflets, manuals, or other published or processed documents, or the last manuscript report if not published, which has been produced or financed by AID and is not included in other records elsewhere.

31030	a)	Record copy.	Permanent. Transfer to
			AID/W and retire to
			WNRC. Transfer to NARA
			in 10 yr. blocks when
			most recent records are
			10 yrs. old.
31040	b)	Working papers and background	See Item 31060.
		materials.	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Chapter 31 ADMINISTRATIVE MANAGEMENT RECORDS

31050 <u>Administrative Management Project</u> <u>Control Files</u>

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

Destroy 1 year after the year in which the project is closed.

31060 Working Papers

Background records, such as studies, analyses, notes, drafts, and interim reports, used in development of final report or document.

Destroy 3 years after completion of report.

AID HANDBOOK 21-II Trans. Memo. No.		Effective Date	Page No.
	21-II:20	October 27, 1993	6A-255

AUDIT, INVESTIGATION, AND INSPECTION RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
TI ENTITO:	DESCRIPTION OF RECORDS	THE THORNE DIST OSTITUTE

32010 Regional Inspection and Investigation Report Files

Case files on inspections and investigations of AID overseas activities consisting of reports and supporting papers.

(1) destroy duplicate copies of basic documents that are maintained in Washington; and (2) transfer original notes and case-related original records of

evidence to the IG/II,

AID/Washington.

Regional Audit Report Files

32020	a)	Case files on internal audits made of overseas offices including audits of cooperative services and voluntary agency programs under Title IIIof PL 480. Files include copies of reports supporting papers and related correspondence.	Cut off file at end of FY after close of case. Destroy 8 yrs. after cutoff. (GRS 25/4)
32030	b)	Audit work papers consisting of working files, the substance of which is contained in the official case files described in Item 32020 above.	Destroy 1 year after audit has been issued.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

BUDGET RECORDS

ITEM NO	<u>O</u> .	DESCRIPTION OF RECO	<u>RDS</u>	AUTHORIZED DISPOSITION
33010	Budget Corre	spondence Files		
	responsible for to AID/W. Finadministration	ace files in the office or submitting the ABS iles pertain to routine in, internal procedures, ters not covered else- Schedule.	Destroy whold. (GR	<u> </u>
	Budget Recor	<u>ds</u>		
33020	a)	Mission's copy of Annual Budget Submission.		troy when 5 years GRS 5/4)
33030	b)	Working papers, cost stater and data accumulated in the paration of the Annual Bud Submission.	e pre- clo	estroy 1 year after the ose of the fiscal year vered by the budget.
33040	Budget Repor	t Files		
	Periodic reportant appropriation apportionment	accounts and	Cut off at enge year. Destro s old.	
33050	Budget Appor	rtionment Files		
	schedules, pro	nt and reapportionment oposing quarterly obligations athorized appropriation.	year. D	nat end of fiscal Destroy when 2 . (GRS 5/6)

AID HANDBOOK 21-II	AID HANDBOOK 21-II Trans. Memo. No.		Page No.
	21-II:20	October 27, 1993	6A-257

COMMUNICATIONS AND RECORDS MANAGEMENT

ITEM NO	<u>O</u> .	DESCRIPTION OF RECORD	OS AUTHORIZED DISPOSITION
34010	Messenger Se	ervice Files	
	instructions,	ssignment records and dispatch records, delivery e schedules, and related	Destroy when 2 months old. (GRS 12/1)
	Postal Record	<u>ds</u>	
	Post Office fo	orms and supporting papers.	
34020	a)	Records relating to incoming outgoing registered mail pouregistered certified, insured a special delivery mail including receipts and return receipts.	ches, old. (GRS 12/5) and
34030	b)	Application for postal registration and certificates of declared value of matter subto postal surcharge.	Destroy when 1 year old. (GRS 12/5) ect
	Mail and Del	ivery Service Control File	
34040	a)	Records of receipt and routin incoming and outgoing mail, items handled by private delicompanies.	and old. (GRS 12/6)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Chapter 34 COMMUNICATIONS AND RECORDS MANAGEMENT

34050	b)	Statistical reports of postage Destroy when 6 months used on outgoing mail and fees old. paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).
34060	c)	Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers). Destroy when 6 months old.
34070	d)	Statistical reports and data Destroy when 1 year relating to handling of mail old. and volume of work performed.
34080	e)	Records of and receipts for mail and packages received. Destroy when 6 months old.
34090	f)	General files including correspondence, memoranda, directives, and guides relating to the administration of C&R operations. Destroy when 1 year old, or when superseded or obsolete, whichever is applicable.
34100	g)	Locator cards, directories, indexes, and other records relating to mail delivery to individuals. Destroy when superseded. Turn over to Embassy mail room upon termination of U.S. AID office.
34110	Records Holdings Fi	<u>les</u>
	Statistical reports of including feeder reports of the contraction of	orts from all (GRS 16/6b) e volume of

or transfer.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-259

Page No.Effective DateTrans. Memo. No.AID Handbook 21-IIOctober 27, 199321-II:20

Chapter 34 COMMUNICATIONS AND RECORDS MANAGEMENT

Records Management Files

34120

a) Correspondence, reports, authoriza- Destroy when 6 years tions, and other records that old. (GRS 16/11) relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this Schedule.

34130

b) Shelf lists of records retired to Forward to Bureau AID/W. Executive Management

Office upon termination of the USAID office.

USAID COMMUNICATIONS AND RECORDS OFFICE

Telegram Files

Chronological files maintained by the USAID Communications and Records Office, consisting of copies of incoming and outgoing telegraphic correspondence. Files are normally arranged by serial number by point of origin and are kept, for the most part, as a source of easy reference.

34140

a) Telegrams exchanged between AID/W Cut off at the end of headquarters and the USAID office. the calendar year, Copies of these telegrams can be retain in active office located in the AID/W Telecommunica- space. Destroy when 1 tions Branch. yr. old or sooner if no

longer needed for reference. (NC1-286-82-2, Item 1B)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-261

Chapter 34 COMMUNICATIONS AND RECORDS MANAGEMENT

ITEM NO.		DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
34150	(b)	Incoming telegrams received from other USAID offices. ca when 1 yr.	
			sooner, if no longer needed for reference. (NC 1-286-86-82, Item 1B)
34160	(c)	Outgoing telegrams exchange with other USAID offices. Washington is <u>not</u> an addressee. in of	Cut off at end of the calendar year. Retain ffice space for 1 additional year, then transfer to AID/W and retire to WNRC. Destroy when 7 yrs. old. (NC 1-286-82-2, Item 1C, 2b)

General Correspondence Files

Chronological files maintained by the USAID Communications and Records Office consisting of letters, memoranda, and other nontelegraphic communications media. Files are normally maintained by date of issuance and are kept, for the most part, as "easy reference" files.

34170 (a)	3	Cut off at the end of the fiscal year and retain in office space for 6 additional onths. Transfer to storage facili- ties for 18 months, then destroy. (NC 1- 286-82-2, Item 2B)
-----------	---	--

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-263

FINANCIAL MANAGEMENT RECORDS

ACCOUNTABLE OFFICERS' ACCOUNTS RECORDS

<u>ITEM NO.</u> <u>DESCRIPTION OF RECORDS</u>

AUTHORIZED DISPOSITION

Accountable Officers' Files

a)

35010

Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and other schedules and vouchers or documents used as schedules or vouchers, exclusive of freight records and payroll records. These records document the basic financial transaction, money received and money paid out or deposited in the course of operation of the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this part of the Schedule.

Site audit records include, but are not limited to, the Standard Forms and Optional Forms listed below.

Original paid vouchers and schedules are to be retained at post in an offsite repository that provides adequate safeguards against natural disaster and acts of agression.

Records shall be destroyed 6 years and 3 months after period covered by account.

(GRS 6/1)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Also included are equivalent agency forms which document the basic financial transaction as described above.

SF 1034, Public Voucher for Purchases and Services Other than Personal SF 1080, Voucher for Transfer Between Appropriations and/or Funds SF 1081, Voucher and Schedule of Withdrawals and Credits. Schedule of Voucher Deductions SF 1096, SF 1098, Schedule of Cancelled Checks SF 1113, Public Voucher for Transportation Charges SF 1166, Voucher and Schedule of Payments SF 1190, Foreign Application, Grant and Report Statement of Transactions SF 1121. According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)

b) Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related papers not covered

Schedule.

elsewhere in this part of the

Destroy 3 years after the period of the account.

35020

AID HANDBOOK 21-II

Trans. Memo. No.

Effective Date

Page No.

21-II:20

October 27, 1993

6A-265

Chapter 35 FINANCIAL MANAGEMENT RECORDS

35030 Transportation Voucher Files

Vouchers identified by "T" prefixed to the voucher and schedule of paymets number which involve both US and foreign tariff rates.

Cut off at end of FY in which payment is made. Hold files for

3 years or audit, whichever is earlier; then transfer to AID/W.
Destroy 10 yrs. after final payment.

35040 GAO Exceptions Files

General Accounting Office notices of exceptions, such as Standard Form 1100 formal or informal, and related correspondence.

Destroy 1 year after exception has been reported as cleared by GAO (GRS 6/2)

35050 General Fund Files

Records relating to availability, collection, custody and deposit of funds including appropriation warrants and certificates of deposit (SF 215), other than those records covered by Items 35010, 35020, 35100, and 35150 of this Schedule.

Destroy when 3 years old. (GRS 6/4)

35060 <u>Accounting Administrative Files</u>

Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

Destroy when 3 years old. (GRS 6/5)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Personnel	Surety	Bond	<u>Files</u>

a)	Official copies of the bond and
	attached powers of attorney.

		· ·	hed powers of attorney.	
35070		(1)	Bonds purchased before January 1, 1956.	Destroy 15 years after bond becomes inactive. (GRS 6/6)
35080		(2)	Bonds purchased after December 31, 1955.	Destroy 15 years after the end of the bond premium period. (GRS 6/6)
35090	b.		files, including other and related papers.	Destroy when bond becomes inactive or after the end of the bond premium. (GRS 6/6)

EXPENDITURE ACCOUNTING RECORDS

35100 **Expenditures Accounting General** Correspondence and Subject Files

Correspondence and subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.

Destroy when 2 years old. (GRS 7/1)

35110 **General Accounting Ledgers**

General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.

Destroy 6 years 3 months after the close of the FY involved. (GRS 7/2)

AID HANDBOOK 21-II Trans. Memo. No. Effective Date Page No. 21-II:20 October 27, 1993 6A-267

Chapter 35 FINANCIAL MANAGEMENT RECORDS

35120 Appropriation Allotment Files

Allotment records showing status of Destroy 6 years 3 months obligations and allotments under each after the close of the authorized appropriation. FY involved. (GRS 7/3)

Expenditure Accounting Posting and Control Files

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this Schedule.

35130 a) Original records Destroy when 3 years old. (GRS 7/4)

35140 b) Copies Destroy when 2 years old. (GRS 7/4)

PAYROLLING AND PAY ADMINISTRATION RECORDS

35150 Individual Accounts Files

Individual earning and service cards,
such as Optional Form 1127 or equivalent.

St. Louis records on
separated employees
when volume of

when volume of records reaches 1 cubic foot.
Destroy 56 years after the date of the last entry on the card.
(GRS 7/1)

35160 Payroll Correspondence Files

General correspondence files maintained by payroll units pertaining to payroll preparation and processing. Destroy when 2 years old. (GRS 2/2)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Time and Attendance Reports Files

a)	Forms such as Optional Form 1130,
	AID 7-141, AID 760-10 or equivalent.

35170	(1)	Payroll preparation and cessing copies.	pro- Destroy after GAO aud or when 3 years old, whichever is sooner. (GRS 2/2)	lit
35180	(2)	All other copies.	Destroy 6 months after	noriod
(GRS 2/2)			the end of the pay	period.

Leave Application Files

Application for Leave, SF 71 or equivalent and supporting papers relating to requests for and approval of taking leave.

35190	a)	If the time card has been initialed by the employee.	Destroy at the end of pay period. (GRS 2/8)
36200	b)	If the time card has not been initialied by the employee.	Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/8)
	or equ from p	record cards such as OF 1137 ivalent maintained separately bay and earnings records, and 30 when used as a leave record.	
35210	a)	Pay or fiscal copies.	Destroy when 3 years

			old. (GRS 2/9)
35220	b)	Other copies.	Destroy 3 months after the end of the period covered. (GRS 2/9)

AID HANDBOOK 21-II Trans. Memo. No. Effective Date Page No. 21-II:20 October 27, 1993 6A-269

Chapter 35 FINANCIAL MANAGEMENT RECORDS

Leave Data Files

Records of leave data, such as SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3.

35230 Original copy of SF 1150. File on right of official a) personnel folder. (GRS 2/10) 35240 b) All other copies. Destroy when 3 years old. (GRS 2/10) Notification of Personnel Action Files 32250 Copies of SF 50 or equivalent, not filed Destroy when related pay in the Official Personnel Folder. records are audited by GAO or when 3 years old, whichever is sooner. (GRS 2/11)

35260 <u>Budget Authorization Reference Files</u>

Copies of budget authorization in operating payroll units used to control personnel ceilings and personnel actions.

Destroy when superseded. (GRS 2/12)

Payroll Files

Memorandum copies of payrolls, check lists, and related certification sheets, such as: SF 1013A, SF 1128A or equivalents.

a) If earning record card is maintained. Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/13)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

35280	b)	If earning record card is not maintained.	Destroy when 10 years old. (GRS 2/13)
35290	Payroll Contr	ol Files	
	Payroll contro	ol registers. Destr	or when 3 years old, whichever is sooner. (GRS 2/14)
	Payroll Chan	ges Files	
		ge slips, exclusive of OPF, such as SF 1126.	
35300	a)	Copy used in GAO audit.	Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner. (GRS 2/15)
35310	b)	Disbursing officer copy used in preparing checks.	Destroy after preparation of check. (GRS 2/15)
35320	c)	All other copies.	Destroy 1 month after the end of the pay period. (GRS 2/15)
	Fiscal Schedu	ules Files	
		n copies of fiscal schedules ayroll process.	
35330	a)	Copy used in GAO audit.	Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/16)
35340	b)	All other copies.	Destroy 1 month after the end of the pay period. (GRS 2/16)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-271

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Administrative Payroll Report Files

Reports, statistics, with supporting and related records, pertaining to payroll operations and pay administration.

35350	a)	Reports and data used for workload and personnel management purposes.	Destroy when 2 years old. (GRS 2/17)
35360	b)	All other reports and data.	Destroy when 3 years old. (GRS 2/17)
	Tax Files		
35370	a)	Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms.	Destroy 4 years after form is superseded or obsolete. (GRS 2/18)
35380	b)	Returns on income taxes such as IRS Form W-2.	Destroy when 4 years old. (GRS 2/18)
35390	c)	Reports of withheld Federal taxes, such as IRS Form W-3 with related papers, including reports relating to income and social security taxes.	Destroy when 4 years old. (GRS 2/18)

Retirement Files

35400 a) Reports and registers

Reports, registers or other control documents, and other records relating to retirement such as SF 2807 or equivalent.

Destroy when 3 years old. (GRS 2/21)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-273

35410 b) Assistance Files

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

Destroy when 1 year old. (GRS 2/21)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

MOTOR VEHICLE MAINTENANCE AND OPERATION RECORDS

ITEM NO	<u>O</u> .	DESCRIPTION OF RECO	<u>RDS</u>	AUTHORIZED DISPOSITION
36010	Motor Vehicl	e Correspondence Files		
	responsible motor vehicl	nce in the operating unit for maintenance and operates es not otherwise covered the Schedule.	ntion	File at end of FY. Destroy when 2 of old. (GRS 10/1)
	Motor Vehicl	e Operating and Maintenance	e Files	
36020	a)	Operating records included relating to gas and oil constion, dispatching, and scheooling and scheooling records included relating to gas and oil constitution.	ump- o	Destroy when 3 months ld. (GRS 10/2)
36030	b)	Maintenance records, inclutions relating to service an repair.	-	Destroy when 1 year old. RS 10/2)
36040	Motor Vehicl	e Cost Files		
		e ledger and work sheets t and expense data.	discontinu	y 3 years after nance of ledger ate of work sheet. (GRS 10/3)
36050	Motor Vehicl	e Accidents Files		
		ing to motor vehicle intained by transportation (GRS 1	case is	o years after closed.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-275

Chapter 36 MOTOR VEHICLE MAINTENANCE AND OPERATION RECORDS

36060 <u>Individual Motor Vehicle Files</u>

Case files on individual vehicles including but not limited to Form AID 5-197 Motor Vehicle Record and records relating to transfer, sale, donation or exchange of vehicles. Destroy 4 years after vehicle leaves Mission custody. (GRS 10/6)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

PERSONNEL RECORDS

ITEM NO.		<u>DESC</u>	CRIPTION OF RECORDS	AUTHORIZED DISPOSITION
Pers	onnel Fil	<u>es</u>		
a)	Offici	al Perso	onnel Folders	
37010	(1)	Foreig	gn Service National Employ	Dept. of State, Wash., D.C., 1 year after date of employee separation.
	(2)	Foreig Emplo	gn National Contract byees	
37020		(a)	When no separate contract file is maintained elsewhere.	t Destroy 6 years 3 months after termination of contract.
37030		(b)	When separate contract file is maintained elsewhere.	Destroy 1 year after termination of contract.
37040	(3)		ican Family members in AFM designated positions.	Transfer folder to the National Personnel Records Center, St. Louis, Missouri 30 days after separation. NPRC will destroy 75 yrs. after birth date of employee. (60 years after the date of earliest document in the folder if the date of birth cannot be ascertained) or 5 years after separation, which- ever is later.

AID HANDBOOK 21-II Trans. Memo. No.		Effective Date	Page No.
	21-II:20	October 27, 1993	6A-277

	b)	Unof	ficial Pe	ersonnel Folders	
		(1)	U.S. I	Direct Hire Employees	
37050			a)	Transferred to another U.S. AID	Transfer file immediately to the new post.
37060			b)	Transferred to AID/W	Destroy 1 year after departure of employee.
37070			c)	Separated at post.	Destroy 1 yr after eparation of employee.
37080		(2)	U.S. O	Contract(or) Employees	Destroy 1 year after termination of contract or departure of employee whichever is sooner.
	<u>Positi</u>	on Clas	sification	on Files	
37090		a)		on Classification lards Files.	Destroy when superseded or obsolete. (GRS 1/7)
			to cla	lards and Guidelines used ssify or evaluate position the Agency.	
37100		b)	Positi	on Descriptions	Destroy 5 years after position is abolished or description superseded.
			positi on tit	describing established ons including information le, series, grade, duties esponsibilities.	ı

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

37110 c) Survey Files.

Destroy 3 years after survey.

Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports.

37120

d) Appeals Files

Destroy 3 years after case is closed.

Case files relating to classification appeals.

Employee Awards Files

37130

a) Case files including recompositions, approval or disapproval.

memoranda, correspondence, reports and related handbooks pertaining to Agency sponsored cash and non-cash awards such as incentive awards, within grade merit increases, suggestions and outstanding performance.

Destroy 2 years after approval or disapproval.

(GRS 1/12)

and related handbooks pertaining to Agency sponsored cash and non-cash awards such as incentive awards, within grade merit increases, suggestions and outstanding performance.

37140

b) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.

Destroy when 2 years

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-279

37150	c)	Length of Service Files.	Destroy when 1 year old.
		Records including correspondence memoranda, reports, computate of service and list of awarded	ations
37160	d)	Letters of Commendation and Appreciation.	Destroy when 2 years old.
		Copies of letters recognizing length of service and retireme letters of appreciation, com- mendations for performance, EXCLUDING copies filed in OFFICIAL Personnel Folder	the
37170	Incentive Aw	vards Program Reports	
		ining to the operation of Awards Program.	Destroy when 3 years old. (GRS 1/13)
37180	Notifications	of Personnel Actions	
	employment, or out, separa individual pe	m 50 documenting initial promotions, transfers in ations, and all other ersonnel actions, exclusive fficial Personnel Folders.	Destroy when 1 year old.
	Personnel Op	perations Statistical Reports	
	-	ports in the operating fice relating to personnel.	
37190	a)	Month end reports	Destroy when 2 years old. (GRS 1/16)
37200	b)	Calendar year end and fiscal year end reports.	Destroy when 10 years old. (GRS 1/16)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Correspondence and Forms Files

Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this Schedule.

37210	a)	Correspondence and forms r to pending personnel actions		Destroy when action is omplete. (GRS 1/17)
37220	b)	All other correspondence and	d forms.	Destroy when 6 months old. (GRS 1/17)
37230	Equal Employ	ment Opportunity Records		
	Copies of Cor	mplaint Case Files:	Destroy	1 year after

Copies of Complaint Case Files: duplicate case files or documents pertaining to cases retained in Official Discrimination Complaint Case Files. Destroy 1 year after resolution of case. (GRS 1/26b)

<u>Training Records</u> (AID Employees)

a) Training Aids.

37240	(1)	One copy of each manual, syllabus, textbok, and other training aid devloped for Agency-specific training. Permanent. Transfer as per Item 31030
37250	(2)	Training materials developed Destroy when obsolete or for administrative or superseded. facilitative subjects.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-281

b)	General file of Agency sponsored
	training:

37260 (1) Correspondence, memoranda, Destroy when 5 years agreements, authorizations, old. reports, requirement reviews, plans, and objectives relating to the establishment and

operation of training courses and conferences.

37370 (2) Background and work papers. Destroy when 3 yrs. old.

37380 c) Employee Training.

Correspondence, memoranda, reports Destroy when 5 yrs. old and other records relating to the availability of training and obsolete, whichever is employee participation in sooner. training programs sponsored by other government agencies or nongovernment institutions.

37390 d) Course Announcement Files.

Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or nongovernment organizations. Destroy when superseded or obsolete.

Grievance, Disciplinary and Adverse Action Files

37400 a) Grievance, Appeals Files Destroy 3 yrs. after (5 CFR 771). case is closed.

Records originating in the review of grievance and appeals raised by agency employees, except EEO companies.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

b) Adverse Action Files (5 CFR 752).

Adverse files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, absent without official leave, reduction-in-force) against an employee.

37410

(1) U.S. Citizen direct-hire employees.

Forward material to AID/W M/PM/OD for filing.

37420

(2) All other employees.

Destroy 4 yrs. after

case is closed.

Personal Injury Files

Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made.

37430

a) U.S. citizen direct hire employees.

Forward material to AID/W M/PM/OD for

filing.

37440

b) Foreign service national employees. File in Official Personnel folder.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-283

PROCUREMENT AND SUPPLY RECORDS

38010 General Correspondence Files

Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this Schedule.

Cut off file at end of fiscal year. Destroy when 2 years old. (GRS 3/3)

Routine Procurement Files

Contract, requisition, purchase, order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in Item 38010 above).

a) Procurement or purchase organization copy, and related papers.

38020		(1)	Transactions of more the \$25,000.	han Destroy 6 years and 3 months after final payment. (GRS 3/4)
38030		(2)	Transactions of \$25,00 or less.	Destroy 3 years after payment. (GRS 3/4)
38040	b)	Obliga	ntion copy.	Destroy when funds are obligated. (GRS 3/4)

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Chapter 38 PROCUREMENT AND SUPPLY RECORDS

38050	c)	Other copies of records above	ve Destroy upon termination
		used by component elements	s of or completion of
		an office for administrative	procurement action.
		purposes.	(GRS 3/4)

Supply Management Files

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).

	incorporated of a general n		files or other files	
38060	a)	for int	s received from other units ternal purposes for trans- on to staff agencies.	Destroy when 2 yrs. old. (GRS 3/5)
38070	b)	-	s in other reporting units lated work papers.	Destroy when 1 yr. old. (GRS 3/5)
	Solicited and	Unsolid	cited Bids and Proposals Fil	<u>es</u>
38080	a)	Succe	ssful bids on proposals.	Destroy with related contract case files (see Items 38020 thru 38050). (GRS 3/6)
	b)	Unsuc	ccessful bids and proposals.	
38090		(1)	When filed separately from contract case files.	Destroy with related contract when completed. (GRS 3/6)
38100		(2)	When filed with contract of file.	case Destroy with related atract case files (see Items 38020 thru 38050). (GRS 3/6)

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-285

Chapter 38 PROCUREMENT AND SUPPLY RECORDS

Reproduction and Distribution Files

Records relating to requisitions for printing and all supporting papers.

38110	a)	Printing procurement unit copy of requisition, invoice, specifications and related papers.	Destroy 3 yrs. after completion or cancel- lation of requisition. (GRS 3/7)
38120	b)	Accounting copy of requisition.	Destroy 3 yrs. after period covered by related account. (GRS 3/7)

38130 <u>Nonpersonal Requisition File</u>

Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (exclusing records associated with accountable officers' accounts, Chapter 36, Items 35010, 35020).

Destroy when 1 yr. old. (GRS 3/8)

M/SER/MO/PA/RM.

(GRS 3/1)

Equipment and Supplies Requisition File

Requisition for supplies and equipment for current office use.

and development of transactions that

deviate from established procedures

38140	a) Stockroom copy.	Destroy 2 yrs. after completion or cancel- lation of requisition. (GRS 3/9)
38150	b) All other copies.	Destroy 6 months after requisition is filled. (GRS 3/9)
38160	Unique Procurement Files	
	Procurement files (as in Items 38020 thru 38050) documenting the initiation	*

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

with respect to general Agency procurement programs.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-287

CHAPTER 39

PROPERTY RECORDS

ITEM NO	<u>)</u> .	DESCRIPTION OF RECORD	OS AUTHORIZED DISPOSITION
39010	Property Disp	oosal Corresondence Files	
	responsible for taining to their	or property disposal, per- ir operation and adminis- ot otherwise provided for.	Destroy when 2 yrs. old. (GRS 4/4)
39020	Non-expenda	ble Personal Property Reports	Destroy when 3 yrs. old. (GRS 4/5)
	Excess Prope	rty Case Files	
	property, com acceptance, li	sales or donation of personal apprising invitations, bids, lists of materials, evidence ansfer, and related correspon-	
39030	a)	Transactions after July 25, 19 of more than \$10,000; and tra actions before July 26, 1974, more than \$2,500.00	nns- actions are completed.
39040	b)	Transactions after July 25, 19 of \$10,000 or less; and transactions before July 26, 1974, \$2,500 or less.	actions are completed.
	NT 1	11 D 1D 4 E'1	

Non-expendable Personal Property Files

Correspondence, reports and other records on sales or donation of Mission property not covered elsewhere in this Schedule.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Chapter 39 PROPERTY RECORDS

39050 a) Files pertaining to the donation of U.S. owned personal property

Cut off file when all actions are completed.

Destroy 6 yrs. after ed. cutoff.

under Section 607 of the Foreign Assistance Act of 1961, as amended.

Property Inventory Files

39060 a) Inventory lists. Destroy 2 yrs. from date

of list. (GRS 3/10)

39070 b) Inventory cards. Destroy 2 yrs. after

discontinuance of item
or 2 years after stock
balance is transferred
to new card or recorded
under a new classification, or 2 years after
equipment is removed

from U.S. AID control.

39080 <u>Building Services Files</u>

Copies of work orders and related records on work done pertaining to repairs and upkeep of U.S. AID property, equipment and facilities. Destroy 3 fiscal years following close of FY in which work is done.

39090 Housing Furnishing Accountability Files

Listings of items of furniture and appliances assigned to individual staff housing for which accountability is established.

Destroy 3 fiscal years after close of FY in which inventory is superseded.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-289

Chapter 39 PROPERTY RECORDS

39100 <u>Leases</u>

Administrative copies of documents on leased housing and other properties.

Destroy 3 fiscal years following close of FY in which (a) lease termination lapse or cancellation occurs, or (b) litigation is concluded, whichever is later.

AID-owned Real Property Records

39110	a)	All original records pertaining to real property acquisitions.	Send to SER/MS/OM/OPM, Washington.
39120	b)	Copies of real property acquisition documents.	Retain copy at Mission until property is disposed of, then transfer to SER/MS/OM/OPM, Washington.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

CHAPTER 40

TRAVEL AND TRANSPORTATION RECORDS

DESCRIPTION OF RECORDS ITEM NO. **AUTHORIZED DISPOSITION**

Freight Files

Records relating to freight consisting of export certificates, transit certificates, demurrage cards, record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports and all supporting documents, including records relating to the shipment of household goods.

40010	a)	Issuing office memorandum copother than those identified in 40040 below.	pies Destroy 3 yrs. after the period of the account. (GRS 9/1)
40020	b)	All other copies.	Destroy when 1 year old. (GRS 9/1)
40030	c)	Registers and control records other than those identified in	Destroy when 3 yrs. old. (GRS 9/1)
40040	d)	Records, including registers and control records, on international shipments of household goods moved by freight forwarders.	• •
40050	e)	Case files (by employee name) documenting the various shipme (HHE, UAB, POV, etc.) of perseffects while the individual is assigned to post. Includes final departure shipment.	ents actions, payments and sonal claims been settled following final ship-

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
	21-II:20	October 27, 1993	6A-291

Chapter 40 TRAVEL AND TRANSPORTATION RECORDS

40060 <u>Lost or Damaged Shipments Files</u>

Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act.

Destroy when 3 yrs. old. (GRS 9/2)

Passenger Transportation Files

Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), or equivalent, travel authorizations, transportation request registers, and all supporting papers.

40070	a)	Travel administrative office files.	Destroy when 3 yrs. old. (GRS 9/3)
40080	b)	Obligation copies.	Destroy when funds are obligated. (GRS 9/3)
40090	c)	Name Files - Case files which document reimbursements to and on behalf of the individual employee. foll	Close files when all action, payments, and claims have been settled owing employee's departure from post or termination of employment. Destroy 6 yrs. after closing. (GRS 9/3)

Passenger Reimbursement Files

Records relating to reimbursing vouchers, transportation requests, hotel reservations, and all supporting papers, documenting official travel by officers, employees, dependents, or others authorized by law to travel.

40100	a)	Travel administrative office file	es. Destroy when 3 years old.
40110	b)	Obligation copies.	Destroy when funds are

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

obligated.

1	AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.
		21-II:20	October 27, 1993	6A-293

Chapter 40 TRAVEL AND TRANSPORTATION RECORDS

40120

c) Name Files - Case files which document reimbursements to and on behalf of the individual employee.

Close files when all action, payments, and claims have been settled following

employee's departure from post or termination of employment. Destroy 6 years after closing.

General Travel and Transportation Files

40130

a) Correspondence, forms and related Destroy when 2 yrs. old. records pertaining to agency (GRS 9/5) travel and transportation functions, not covered elsewhere in this Schedule.

40140

b) Accountability records.

Destroy 1 yr. after all entries are cleared. (GRS 9/5)

40150 Foreign Country Customs Records

Records relating to customs activities in foreign ports on all incoming and outgoing AID shipments of goods. Includes all correspondence forms and reports.

Cut off annually the files on all cleared shipments. Destroy 3 yrs after cut off.

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

APPENDIX 6B

INDEX TO U.S. AID SCHEDULE

Trans. Memo. No.

Effective Date

Page No.

6A-295

21-II:20

October 27, 1993

PAGE NO. IN APP. 6B

-A-

Accidents, Report
Employees files38
Vehicles files30
Accountable Officer Files20
Accountability Records Files47
·
Accounting Administrative Files22
Accounting Files
Posting24
General Ledgers23
Administrative Management Files
Conferences, Meetings and Seminars
Directives
Payroll Reports27
Project Control
Publications
Office Subject Files
Records Holdings Files
Records Management Files
Supply Management Files40
Travel46
Working Papers14
Adverse Action Files (see Grievance)
Allotment Files (see Appropriation)
Announcement Course Files37
Annual Budget Submission Files
Appeals (see Grievance)
,
Application for:
Leave25
Postal Registration and Certificates17
- 00000 1000000000000000000000000000000
Appropriation Allotment24
rrr

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Assistance Files......29

Trans. Memo. No.

Effective Date

Page No.

21-II:20

October 27, 1993

6A-297

PAGE NO. IN APP. 6B

Audit Files		
	eral Accounting Office, Exceptions	.22
	ections and Investigations15	
	rnal and Regional15	
Site	audit records20	
Authorization		
Bud	get26	
	oosal16	
Awards Files		
Emp	oloyees34	
Ince	ntive35	
	-В-	
Background F	Files	
	k Paper Files37	
Com	pplaint Case Files36	
Bids, Solicite	d and Unsolicited40	
Bills of Ladin	ng, Commercial45	
Budget Recor	rds Files	
	ortionment Files16	
	respondence Files16	
	ords Files16	
Repo	orts Files16	
	-C-	
Cable Files	2	
Cargo Files, I	Distressed8	
Centralized o	r Decentralized Files1	
Chronologica	l Files2	
Classification	Standards Files, Position33	
Commendation	on, Letters of Appreciation35	

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Communication and Records (see Records Management)	
Conferences, Meetings and Seminar Files2)

Trans. Memo. No.

Effective Date

Page No.

21-II:20

October 27, 1993

6A-299

PAGE NO. IN APP. 6B

Contracts Files39
Correspondence Files Forms Files36
General Files1
Motor Vehicles30
Payroll24 Subject24
Country Development Strategy Statement (CDSS)6
Country Files2
Customs Records, Foreign Country47
-D-
Damage, Loss Reports8
Decentralized Files (see General Correspondence)
Delivery (see Mail Service)
Development Country Development Strategy6 Housing, Urban11
Directives Files
Disciplinary (see Grievance)
Disposal (see Property Correspondence)
Distressed Cargo Files8
-E-
Employee
Awards Files34
Contractual

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Letters of Commendation, Appreciation......35
Training......37

Trans. Memo. No.

Effective Date

Page No.

21-II:20

October 27, 1993

6A-301

PAGE NO. IN APP. 6B

End Use Reporting8			
Equal Employment Opportunity Records36			
Evaluation	n (see Implementation)		
Exception	ns (see Application of Schedules)		
I I Expenditu	Personal Property Files		
	-F-		
Famine R	telief and Other Assistance9		
Files, Ger	neral9		
Financial (CIP) Files7			
Fiscal Schedules Files			
Foreign C	Country Customs Records47		
Foreign Service Employees, Nationals32			
Forms, Correspondence36			
Freight Fi	iles45		
	-GHI-		
General A	Accounting Office Exception Files22		
(Files9 Centralized or Decentralized		

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Trans. Memo. No.

Effective Date

Page No. 6A-303

21-II:20

October 27, 1993

PAGE NO. IN APP. 6B

Government Bills of Lading45
Grant Agreements Files4
Grievance, Disciplinary Adverse Action37
Holdings, Records Files14
Housing and Urban Development Projects11
Incentive Awards Program Reports35
Individual Accounts Files
Injury, Personal38
Implementation and Evaluation10
Inventory Requisition41
-JKL-
Leave Application Files
Letters of Transmittal Files
Loan Agreements4
Lost, Damaged Shipments Files46
-MNO-
Mail and Delivery Service Control Files17
Messenger Service Files
Mission Orders13

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Trans. Memo. No.

Effective Date

Page No.

21-II:20

October 27, 1993

6A-305

PAGE NO. IN APP. 6B

Motor V	Vehicles	
	Accident Files	
	Correspondence Files	
	Cost, Vehicle	
	Individual	
	Operating and Maintenance	30
Non-Per	ersonal Requisition Files	41
Non-Pro	oject (Program) Procurement Files	7
Notices.	s13	
Notifica	ation of Personal Actions Files	35
Obligati	ions16	
Official-	I-Quasi Notices3	
	-PQ-	
Participa	oant Training Files5	
Passenge	tar	
1 assenge	Reimbursement Files	46
	Transportation Files	
Payroll		
1 uj 1011	Administrative Files	27
	Changes Files	27
	Correspondence Files	24
	Control Files2	26
Personal	al Injury Files38	
Personn	nel	
1 01501111	Foreign Service Employees Work Files	
	(Unofficial Personnel Folders)	33
	Operating Statistical Reports	
	Surety Bond Files	
Position	n Classification Files3	3
- ODITIOH	VIUDDIIIVUUDII I IIVDJ	_

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Trans. Memo. No.

Effective Date

Page No.

21-II:20

October 27, 1993

6A-307

PAGE NO. IN APP. 6B

Procurement Files	
Routine39	
Supply40	
Unique41	
Program (non-Project) Procurement Files7	
Project Files	
Identification Documents4	
Implementation Letters and Orders	.4
Papers4	
Plan4	
Procurement Advice6	
Review Summary Reports5	j
Technical Assistance4	
Property Files	
Disposal Correspondence Files	12
Inventory Files43	
Publication Files	
Quarterly Obligations16	
Quasi-Official Notice3	
Quasi Official Police	
-R-	
Reading Files2	
Records Management Communications1	g
Mail and Delivery Service	,
Messenger Service	
Postal Records 17	
Records Holdings14	
Total Holdings	
Reference Files3	
Decional Files	
Regional Files	
Audit Reports	
Inspection and Investigations	,
Technical Assistance Projects12	-

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Reimbursement (see Passenger)

Trans. Memo. No.

Effective Date

Page No.

21-II:20

October 27, 1993

6A-309

PAGE NO. IN APP. 6B

Reports Files
Audit (Regional)15
Budget16
Damage/Loss8
End Use8
Excess Property42
Incentive Awards Program35
Inspections and Investigations15
Progress5
Records Holdings14
Statistical7
Time and Attendance25
Routine Procurement Files39
-S-
-5-
Seminar Files (see Conferences)
Solicited and Unsolicited Bids and Proposals40
Staff Working Files3
Standards, Position Classification33
Commodity Import Program7
Postage and Fees17
Personal Operations35
Strategy (see Country Development)
Subject Files
Administrative1
Foreign Service Nationals32
Personnel 32
Program1
1 Togram
Supply Management Files40
Supplies and Equipment (see Inventory)
Surveys, Classification3

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Tax Files	28
Technical Assistance Project Files	4

Trans. Memo. No.

Effective Date

Page No.

21-II:20

October 27, 1993

6A-311

PAGE NO. IN APP. 6B

Time and Attendance Reports25
Title II, Voluntary Agency Program9
Title III, Implementation and Evaluation10
Training Participants Files
Travel and Transportation General
Transitory Files2
Transmittal Letters3
-UVW-
Unique Procurement Files41
Urban Development (Housing)11
Unsolicited Bids40
Vehicles, Motor (see Motor Vehicles)
Voluntary Agency Programs9
Vouchers General
Work Orders Files
Working Papers Files14

Page No.	Effective Date	Trans. Memo. No.	AID Handbook 21-II
	October 27, 1993	21-II:20	

Appendix 6C

See Mandatory Reference for ADS 502 entitled Electronic Records Disposition Schedule.

AID HANDBOOK 21-II	Trans. Memo. No.	Effective Date	Page No.	
	21-II:20	October 27, 1993	6A-313	