ADS Chapter 502

The USAID Records Management Program

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ADS 502 – The USAID Records Management Program
POC for ADS 502: James Wade, (202) 712-0798, jwade@usaid.gov

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ADS 502 – The USAID Records Management Program

502.1 OVERVIEW

Effective Date: 09/11/2012

The **Federal Records Act of 1950, as amended**, requires all federal agencies to make and preserve records containing adequate and proper documentation of their organization, function, policies, decisions, procedures, and essential transactions. These records are public property and must be managed according to applicable laws and regulations. Agencies are also required to establish a records management program which includes a planned, coordinated set of policies, procedures, and activities needed to manage its recorded information. This includes issuing up-to-date records management directives and properly training those responsible for implementation. The Agency records management program must:

- Identify records that need to be created and maintained to conduct Agency business;
- Create and preserve records that document the organization, functions, programs, policies, decisions, procedures, and essential transactions of the Agency. This includes records necessary to protect the legal and financial rights of the government and of persons directly affected by the Agency's activities;
- Manage records according to the National Archives and Records Administration (NARA)-approved records schedules that determine where and how long records need to be maintained, and transfer permanent records to NARA; and
- Address the creation, maintenance, use, and disposition of records, including databases, e-mail, web records, digital audiovisual materials, and records created from new and emerging technologies.

This ADS chapter provides the policies and essential procedures to ensure efficient and economical practices and effective control over the creation, maintenance, disposition, and preservation of USAID records.

502.2 PRIMARY RESPONSIBILITIES

Effective Date: 09/11/2012

a. The **Administrator** is responsible for creating and preserving records that adequately and properly document the organization, functions, policies, decisions, procedures, and essential transactions of USAID. This responsibility is delegated to the **Director, Bureau for Management, Office of Management Services (M/MS)**.

b. **Assistant Administrators, Independent Office Directors, and Mission Directors** appoint a Records Liaison Officer (RLO) for their bureau/office/mission and

ensure that a records management program is implemented in their organization to accomplish the objectives outlined in this ADS chapter.

c. The **Agency Records Officer** (**Chief of the Bureau for Management, Office of Management Services, Information and Records Division (M/MS/IRD)**) leads and manages the Agency's records management program, by:

(1) Establishing policy, practices and procedures for the creation, maintenance, and disposition of Agency records;

(2) Ensuring that Agency senior officials are aware of current Government standards and procedures relating to records and understand their records management responsibilities;

(3) Performing periodic evaluations of Agency records and systems to ensure compliance with applicable regulations and to assess the value and effectiveness of the Agency's program; and

(4) Serving as the Agency point of contact with the National Archives and Records Administration (NARA).

d. **Records Management Client Analysts (RMCA)** in M/MS/IRD:

(1) Provide records management guidance and oversight for assigned portfolios in Bureaus/Independent Offices (B/IOs) and Missions,

(2) Serve as primary point of contact and subject matter expert for records management inquiries,

(3) Facilitate records management technical assistance and training, and

(4) Collaborate with Agency RLOs to ensure records management policies and procedures are implemented.

e. **Records Liaison Officers (RLOs) in Washington and field Missions:**

(1) Serve as the B/IO or Mission coordinator for the records management Program;

(2) Develop file plans and coordinate the implementation of the office filing system;

(3) Assist with disposition activities, including retirement of inactive records, and transfer of permanent records to the NARA and destruction in accordance with approved records schedules; and

(4) Ensure the scheduling and disposition of all electronic records systems or electronic records.

f. The **Bureau for Management, Office of the Chief Information Officer (M/CIO):**

(1) Coordinates closely with M/MS/IRD to ensure that the Agency's information systems make adequate provisions for the requirements of electronic records standards and that records management responsibilities are fully addressed in the new systems design and development;

(2) Follows and documents the authorized disposition scheduling and complies with established security procedures to prevent unauthorized disclosure of the data contained in the systems developed or maintained by M/CIO;

(3) Works with M/MS/IRD to establish and update records schedules for electronic systems; and

(4) Maintains electronic information systems in accordance with approved records schedules and NARA requirements.

g. **File Custodians** operate file stations in accordance with appropriate records management practices.

h. **Managers of Large Audiovisual (AV) Collections** coordinate audiovisual records system activities with M/MS/IRD.

i. **System Owners (SO**) coordinate with M/MS/IRD to ensure compliance with electronic records standards.

j. **Agency employees:**

(1) Serve as custodians for Agency records;

(2) Create records needed to do the business of the Agency, record decisions and actions taken, and document activities for which they are responsible;

(3) File materials regularly and carefully in a manner that allows them to be safely stored and efficiently retrieved when needed;

(4) Carry out disposition of records under their control in accordance with Agency records schedules and Federal regulations; and

(5) When serving as a Contracting Officer/Agreement Officer Representative, ensure that contractors/grantees maintain records on USAID-funded activities in accordance with records management policies and procedures.

502.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

Effective Date: 09/11/2012

USAID must establish and maintain an active continuing program for managing Agency records, commensurate with its size, organization, mission, and recordkeeping activities. Each Bureau/Independent Office/Mission within USAID must establish and maintain a records program that meets the following minimum requirements:

a. Creates and maintains official records providing adequate and proper documentation and evidence of USAID activities;

b. Manages records (irrespective of medium) in accordance with applicable statutes, regulations, and Agency guidance;

c. Prints and files records in a paper recordkeeping file system when a fully compliant electronic recordkeeping system is not available;

d. Maintains records according to the Agency file structure to ensure timely access and retrieval;

e. Secures records to protect the legal and financial rights of the government and persons affected by government activities; and

f. Implements a plan to protect vital records and assess damage to and the recovery of any records affected by an emergency or disaster.

502.3.1 Records Management Training

Effective Date: 09/11/2012

In accordance with **Title 36, CFR, Part 1220.34(f)** all agencies must provide guidance and training to agency personnel on their records management responsibilities, including identification of Federal records, in all formats and media. Accordingly, it is USAID policy that employees complete training commensurate with their records management responsibilities. All new employees must attend the records management training included in the New Employee Orientation. This training provides basic information about records management theory and specific USAID policies and procedures for records management. Newly designated Records Liaison Officers (RLOs) and File Custodians must complete the on-line Records Management Course available through USAID University. RLOs and File Custodians must complete the on-line course within six months of appointment to the records management position. The on-line course is a prerequisite to enrolling in several instructor-led records management workshops offered throughout the year in Washington and field missions.

502.3.2 Official Records
Effective Date: 09/11/2012

Official records of the Agency are all books, papers, maps, photographs, machine readable materials, electronic documents (e.g., e-mails) or other documentary materials, regardless of physical form or characteristics that are made or received in connection with the transaction of the Agency's business. The records are preserved or appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Agency or because of the informational value of data in them. (**Federal Records Act at 44 U.S.C. 3301**) There are instances where more than one copy of an official document and/or file can be considered a record if different offices use it to perform different functions. When it is difficult to determine if a file or document is a record, which needs to be preserved, the records custodian must treat this material as an official record.

502.3.2.1 Non-Record Materials
Effective Date: 09/11/2012

Some non-record materials appear to be official record documents because they document daily activities. However, if they do not document USAID's policies, procedures, practices or operations, they are non-record material and must be maintained separately from official records.

The following are non-record materials which must be destroyed when no longer needed: chron files, extra copies, personal files, personal e-mails, publications, reading files, reproduced materials, routing slips, suspense files, working files, wrappers, labels, and envelopes.

502.3.2.2 Vital Records
Effective Date: 09/11/2012

The Agency's vital records are records essential to continued operations in cases of an emergency or disaster. Vital records must include emergency plans and related records that specify how the Agency will respond to an emergency, as well as those records that are needed to protect legal and financial rights and interests. See **ADS 511, Vital Records Program** for policies and essential procedures regarding the vital records program.

502.3.2.3 Ownership and Custody
Effective Date: 09/11/2012

No government employee is allowed to acquire proprietary interest in USAID records under their custody. When an official receives private, personal correspondence, which includes portions that relate to official business, the official must extract those portions that pertain to official business and make them a part of the official files.

(1) Overseas: Under circumstances where USAID has residual activities, and no active USAID office exists, control of USAID records is delegated to the American Embassy.

(2) Program records created by USAID staff must remain in USAID ownership and custody. Records pertaining to USAID personnel and to USAID administrative activities, that are created, received, and maintained by a Joint Administrative Organization (JAO) under the Department of State, are records of the Department. As such, they are kept and managed in accordance with Department of State regulations.

(3) Contracting Officer Representatives (COR) and Agreement Officer Representatives (AOR) must ensure that records created, received or maintained by contractors and grantees are made a part of the official files.

502.3.2.4 Access to USAID Records

Effective Date: 09/11/2012

Official Agency records are available for use by all USAID employees, the U.S. public, participating agencies, consultants, scholars, and researchers with the following restrictions:

(1) **Classified and Sensitive But Unclassified (SBU) records:** Conditions controlling access to security classified and SBU controlled records are set-forth in **Executive Order 12958** and **12 FAM 540**.

(2) **Privileged Records:** Records with information that affects an individual's private affairs, reflects facts or opinions given in confidence, or that could prejudice U.S., private, or business interests if disclosed. These records are privileged even though they may not have security or SBU markings. Access to, and use of, these records must be restricted. Conditions controlling access to such records are set by the Freedom of Information Act, the Privacy Act, and by Agency regulations. (See **ADS 507** and **ADS 508**)

(3) **Access for public research:** It is USAID's policy to make information freely available to the public, subject only to the restrictions stated above. Any questions concerning access to USAID records must be addressed to M/MS/IRD at **foiamailbox@usaid.gov**.

502.3.3 Files Planning, Organization, and Maintenance: Designating Files Stations

Effective Date: 09/11/2012

Each RLO in USAID Bureaus, Independent Offices, and Missions must designate official file stations where official Agency records must be maintained. Official file

stations must be established at locations convenient to files users. Proper maintenance and controls over the use of official records must be provided. RLOs must identify and establish appropriate procedures to ensure that official records are maintained and filed at their designated file stations.

502.3.3.1 Avoid Needless Filing

Effective Date: 09/11/2012

It is USAID's policy to keep its records holdings to a minimum by eliminating unnecessary filing of materials.

To prevent unnecessary filing, the following guidelines must be followed:

(1) Periodicals, circulars, and similar printed materials received for general information must be retained on a selective basis. Recipients of the material must determine whether it must be retained and for what period of time. If a particular article is of greater value than the entire publication, a copy of the article should be retained.

(2) Information copies of letters or forms must not be filed unless future reference to the material is likely and the document is not available in the originating office.

(3) Periodicals, circulars, and similar printed materials must not be interfiled with actions or transactions except when essential for complete documentation.

(4) Copies of routine communications that are not needed for records purposes must be eliminated or avoided by:

- Returning routing requests for printed matter with the materials sent;
- Returning routine requests with desired information noted at the bottom of page;
- Using routing slips in preference to transmittal letters;
- Returning the original request with a form letter used to transmit requested information, if possible; and
- If a request must be filed, enter the date of reply and the form letter number rather than retaining a file copy of the form letter.

(5) Extra copies of non-record materials are often kept by various elements within the same office or organization. In many instances, extra copy files

can be eliminated by an agreement between or within offices concerning use of record files. By following this procedure, files maintained at one file station supplement rather than partially duplicate the records at another station.

502.3.3.2 Assembling Papers for Filing

Effective Date: 09/11/2012

To assure sufficiency of documentation, the file custodian must assemble directly related records for filing.

(1) Case files. The file custodian must file the incoming letter, a copy of the reply, and any pertinent attachments or enclosures together.

(2) For general correspondence subject files, the files custodian must:

- Remove any earlier correspondence already on file,
- Determine if any segments of the current correspondence is lacking, and
- Assemble the complete papers in chronological order with the latest date on top.

502.3.3.3 Files Arrangements

Effective Date: 09/11/2012

Files must be arranged in a systematic manner, according to Agency regulations. The three basic arrangements are, alphabetical, numerical, and chronological. To assure sufficiency of documentation, the file custodian must assemble directly related records for filing.

Files are to be arranged according to the procedures below, using medium weight 11-point Kraft folders, with a maximum of 200 single sheets to a folder.

(1) **Alphabetical Arrangements:** This arrangement is used to file documents by names of persons, companies, agencies, etc. in alphabetical sequence. The types of records that are often filed alphabetically include:

a. **Name Files.** Arrange name files alphabetically by surname and then by first name and middle initial. When identical names occur, they must be arranged secondarily by other distinguishing features, such as date of birth or social security number.

b. **Geographic Files.** These files must be arranged alphabetically by geographic location such as region, country, or state. This arrangement is used when the geographic location is the primary

means of reference. Files are arranged in alphabetical sequence first by the name of the main geographic division, such as a country, then by the next most important subdivision required for reference such as states, countries, cities, or units of local government.

c. **Organizational Files.** This arrangement must be used when the name of the organization is the primary means of reference.

(2) **Numerical Arrangements:** This arrangement is used to arrange records identified and referenced by number, such as activity files or purchase orders. Numbers must not be assigned to documents for the sole purpose of filing arrangement.

a. **Straight numerical.** Files are arranged in straight numerical sequence: 1, 2, 3, 4, 5, etc. This method is used if fewer than 10,000 papers are filed a year.

b. **Duplex numbers.** Duplex numbers consist of two or more parts separated by a dash, space, or comma (examples, 94-0001, 942-0002, 942-0003). These files must be arranged in straight numerical sequences by the first part of the number followed by succeeding parts.

(3) **Chronological Arrangements**: A chronological file is usually arranged into two separate series: incoming and outgoing, that is, one for cables and telegrams and one for correspondence (letters, memos, faxes, e-mails), and by sequential date or numerical order, with the latest date or highest number at the front of the folder.

502.3.3.4 Filing Security Classified Papers

Effective Date: 09/11/2012

Agency employees must file classified papers apart from unclassified papers in security file cabinets or secured areas as provided in Executive Order 12958, and 12 FAM 540. If the volume of classified papers is small, they may be maintained as a central security file in a common-use office or division. In overseas offices, classified papers must be stored separately. (See **Executive Order 12958** and **12 FAM 540**)

When filing classified material apart from unclassified material, Agency employees must place cross reference sheets in the unclassified file to show where the related classified papers are located.

502.3.3.5 File Equipment and Supplies
Effective Date: 09/11/2012

To promote effective use of filing equipment, the following standards for filing equipment and supplies must be used:

(1) File equipment must be used only for record material. File equipment must not be used for stocking blank forms, stationery, office supplies, or personal effects.

(2) Non-current records must be disposed of in accordance with records disposal standards within this ADS chapter.

(3) Letter-sized folders and five-drawer filing cabinets must be used, whenever possible.

502.3.3.6 Subject Files and Case Files: Setting Up Subject Files and Case Files
Effective Date: 09/11/2012

The Subject Outlines provide the information needed to organize and correctly label official subject files. Record retention periods are addressed separately in the Records Disposition Schedules of this ADS chapter.

Subject Outlines are made up of subject file codes (for example, ADM, EDU, PRC), which are the primary codes. There are also secondary code breakdowns (ADM-1, EDU-12, OR PRC-3) with file classification captions such as "Health Education", "Administrative Management," etc., followed by a narrative description for each code and classification. Together these comprise a system that provides offices with a smooth and efficient means of filing and retrieving information.

(1) Subject files. Use only the subjects in the Subject Outlines that pertain to your office when setting up subject files. If a paper involves more than one secondary topic in a primary subject file group, you must file it at the next higher classification level. Use secondary and tertiary breakdowns only if the primary subject has been used and there is a need to file ten or more documents. (See **Subject Outlines Index**)

(2) Case files. Case files must be maintained until final action is taken and the case is closed.

It is preferred that standard USAID Kraft file folders, square cut, scored to indicate label position be used when setting up subject files and case files.

When folders become too bulky to handle, the case file folder must be cut-off and a new folder started. The date on which material ceases to be filed in a particular folder is the cut-off date. For convenience, end of fiscal year, end of month, or end of specific date must be used as the cut-off date for folders. Folders that are bulky should be divided

into one or two folders unless accordion folders are used. As a general rule a single folder should not be more than ¾ thick. If using accordion folder it should not be more than two inches thick.

502.3.3.7 Filing Subject File Material

Effective Date: 09/11/2012

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

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

502.3.3.8 Arranging Documents to Be Placed in Case Files (Markings)

Effective Date: 09/11/2012

Case file material must not be marked with Subject file group codes.

Agency employees must arrange Official Personnel Folders (OPFs) alphabetically by last name. The information on the tab of the SF-66 must include the person's name (last name first) and the person's date of birth (month, day, and four digit year).

502.3.3.9 Labels on Folders

Effective Date: 09/11/2012

When preparing folder labels, Agency employees must follow these procedures:

- Yellow-banded self-adhesive labels must be used for official case files and official subject files,
- Green-banded labels must be used for working subject and case files, and
- Red-banded labels must be used for classified material (Confidential and above).

Labels for working files must have exactly the same titles as the official file. Information must be as complete and concise as possible. Abbreviations may be used only if easily understood.

Agency employees must type the file group code and title on the label directly below the colored band (type them exactly as shown in the Subject Outlines). Subject files are

cut-off and new files started each fiscal year, with the fiscal year typed in the lower right corner of the label.

502.3.4 Electronic Records

Effective Date: 09/11/2012

USAID must maintain effective control over the creation, maintenance, and disposition of electronic records. Electronic records include, but are not limited to, word processing documents, electronic mail messages, web sites, documents transmitted via Electronic Data Interchange, Internet and Intranet postings, numerical and textual spreadsheets, databases, optical images, software and electronic information systems. More specific examples of commonly used applications where electronic records may be created are:

- Social media sites like Twitter, Facebook, YouTube, and LinkedIn that are used for sharing and discussing information;
- Blogs used to exchange information and ideas;
- Cloud computing where users can access and use shared data and computing services via the Internet or a Virtual Private Network. Google Mail and other Google applications using cloud computing; and
- The SharePoint content management system where documents and events are shared in a collaborative environment.

502.3.4.1 Social Media

Effective Date: 09/11/2012

Social media refers to sites on the internet that contain mobile-based tools or applications that are used for sharing and discussing information (e.g., Twitter and Facebook). Currently, all social media content is a permanent record. Adherence to the following policies will mitigate the risk posed by publishing official records on social media sites:

- Avoid using any social media outlet to publish, promote, or present official federal record materials regardless of the format;
- Avoid creating new material that pertains to USAID on social networking sites. Instead, use existing material from existing web sites or previously published documents; and
- Refrain from making comments or responding to comments on social media regarding official USAID official business unless you are a designated spokesperson.

Please consult with the Bureau for Legislative and Public Affairs for additional policy regarding social media sites managed by USAID.

502.3.4.2 Documentation for Electronic Systems

Effective Date: 09/11/2012

System Owners must develop and maintain technical documentation for electronic information systems. System Owners must also submit the technical documentation to M/MS/IRD for review prior to implementation of the system design. System Owners can find the minimum requirement for technical requirement in **36 CFR 1236.10**. The purpose of the M/MS/IRD review is to:

- Maintain an accurate inventory of all systems owned by USAID as mandated by NARA;
- Obtain information at the outset of the potential of systems that will generate, house, or interface with official record content in order to initiate the scheduling process and ensure appropriate records management; and
- Ensure records management best practices are considered for those information systems that will contain record content.

M/MS/IRD must schedule applications used to manage electronic record content. A records schedule provides mandatory instructions for the disposition of the records (including the transfer of permanent records and disposal of temporary records) when they are no longer needed by the agency.

System Owners must complete and submit the **AID 502-1 Form, Description of Electronic Records**, to M/MS/IRD at **recordsinquiry@usaid.gov** before developing or updating the electronic information system. The System Owner, in coordination with M/MS/IRD, must propose disposition instructions for the electronic information system and electronic medium for NARA's approval.

502.3.4.3 Converting Paper Records to Electronic

Effective Date: 09/11/2012

M/MS/IRD does not authorize the utilization of databases or information systems other than a fully compliant application for the purpose of managing official record content. A document/content management system (e.g., documentum) is not a record-keeping system due to the absence of a records disposition schedule, i.e., instructions on what to do with the records when no longer needed by the Agency.

If there is no electronic records management application, employees must comply with the specific requirements stated below when converting paper records to an electronic format. Agency employees must apply a diligent quality assurance (QA) process which confirms that the scanned record is 100% representation of the paper record copy to all scanned record content before destroying the paper copy. Agency employees must adhere to the following criteria:

- Scanned images of paper copies must be clear and readable;
- Temporary records must be scanned using Optical Character Recognition (OCR) scanned images;
- Permanent records must be scanned using PDF Archive (PDF/A) scanned images;
- Permanent scanned records must be inserted in the ASIST application (where available); and
- When scanned records are placed in ASIST, precautions must be taken to prevent unauthorized access, accidental modification, or accidental deletion of record files.

502.3.4.4 Filing Electronic Documents

Effective Date: 09/11/2012

Electronic documents containing essential business information are created and stored on agency servers daily. Like with paper documents, it is important to maintain good records management practices when storing electronic documents. Offices should set up an electronic filing and retrieval system on a shared drive to organize and preserve electronic files. Proper organization of these documents will facilitate easier search and retrieval capabilities. An effective filing structure should provide access to complete, accurate, and up-to-date information. The electronic filing system should mirror the paper file to some extent using standard naming conventions, but should be less complex and have no more than five to seven hierarchical electronic folders. (See file organization guidance in **ADS 502.3.3**)

Below are examples of folder hierarchies and naming conventions that can be arranged within the shared drive. This is not a comprehensive list, but is meant to be illustrative. NOTE: It may be necessary to create other folders to manage and document the activities of your office based on your business needs.

<u>Folder Hierarchy</u>

1. Subject Files
    - Administrative Subject Files
    - Program Development, Development, and Support Subject Files
    - Program Subject Files
        - FY2010
        - FY2011
        - FY2012
            - AGR
            - HLS

2. Case Files
    - Travel
    - Personnel
        - Doe, John
        - Doe, Jane
    - COR/AOR
        - OAA-C-XX-XXXXX, ABC Vendor
        - OAA-C-XX-XXXXX, DEF Vendor
            - Activity Development Files
            - Core Documents
            - A&A Files
            - Disbursing Authorizations
            - General Correspondence
            - Reports

3. Specific Office Function Files (ex. Human Resources)
    - Benefits
    - Training
    - Retirement
        - CSRS
        - FERS

<u>File Names</u>

1. **Subject File: HLS 2_Diseases – AIDS Panama 2012.docx**
   (HLS 2 = subject code, Diseases = standard subject title, AIDS = specific subject title)

2. **Project File: 620-009_Maternal Health_Recruitment Program.docx**
   (620-009 = project number, Maternal Health = project title, Recruitment Program = document title)

3. **COR/AOR File: OAA-C-XX-XXXXX_ABC_Nigeria_Sept Progress Report.docx**
   (OAA-C-XX-XXXXX = contract number, ABC = Vendor Name, Sept Progress Report = document title)

502.3.4.5 Storing Agency Records on Compact Disk

Effective Date: 09/11/2012

Compact Disc-Read Only Memory (CD-ROM) is a type of optical disk capable of storing large amounts of data. A single CD-ROM has the capacity to store about 300,000 text pages. A Digital Versatile Disc or Digital Video Disc (DVD) is a type of optical disk technology similar to the CD-ROM. DVDs are commonly used as a medium for digital representation of movies and other multimedia presentations that combine sound and

graphics. Agency employees must follow these procedures if storing records on a CD or DVD:

- All records content stored on CD or DVD media must be filed according to the proper record series as if it were a paper filing system;
- Use only high quality disks capable of storing large amounts of data – up to 1 gigabyte;
- Electronic records stored on CD-ROM must include complete record files;
- Each CD-ROM must include a file plan and records must be arranged on the CD according to series;
- Paper records transferred to CD-ROM must be scanned in OCR and PDF/A for permanent records;
- Ensure that all images on CD-ROM meet quality control for best quality reproduction of the record content;
- Do not mix record and non-record materials on the same CD;
- CD or DVD submissions must be submitted in same box containers that are used with paper record submission; and
- When transferring records on CD to the records retirement vault in the Ronald Reagan Building, contact M/MS/IRD at **recordsinquiry@usaid.gov** for guidance prior to submission.

502.3.4.6 Standard for Managing Electronic Mail Records

Effective Date: 09/11/2012

The Agency e-mail system does not meet the requirements of an electronic recordkeeping system. (See **36 CFR 1236.22(a)1**) Agency users must copy and maintain the e-mail messages determined to be records in accordance with the policies and essential procedures for a paper record keeping system. (See **502maa, USAID Electronic Records Disposition Schedule** and **36 CFR 1236.24b**)

An Agency e-mail user must include the internal and external e-mail message, any attachment, and essential transmission data (that is, who sent the message, the addresses and any other recipients, and when it was sent). In addition, Agency e-mail users must retain information about the receipt of messages if users consider it necessary for documenting Agency activities. If transmission and necessary receipt data are not printed by the particular e-mail system, the hard copies must be annotated as necessary to include the data. (See **36 CFR 1236.24 (d) 2**)

Draft documents that are circulated on e-mail systems are considered official Agency records if they meet the criteria specified in 36 CFR 1222.34.

Some e-mail systems provide calendars and task lists for users. These may meet the definition of a Federal record. Agency employees using calendars that meet the definition of Federal records must manage them in accordance with the provisions of **General Records Schedule 23, Item 5**.

Agency employees must not delete or otherwise dispose of e-mail records without prior disposition. If there is no electronic records management system, users must print and properly file records when deleting e-mails. Agency employees must manage emails in accordance with the following guidelines:

- **Transitory or personal**: Retention of 90 days or destroy when no longer needed, whichever comes first.
- **Non-Records**: Retention of three years or destroy when no longer needed, whichever comes first.
- **Official record**: Retain as per disposition schedules. Do not destroy early or prior to that period, nor keep longer than the specified retention period as indicated by the disposition schedule.

502.3.4.7 Judicial Use of Electronic Records

Effective Date: 09/11/2012

M/MS/IRD must conduct reviews in conjunction with Agency Offices to ensure implementation of procedures to enhance the legal admissibility of electronic records if electronic records must be submitted to Federal Court.

System Owners, in consultation with the Office of the Chief Information Officer, must establish the procedures for documenting the recordkeeping operation and the control imposed on it in order to enhance admissibility of electronic records. (See **36 CFR 1251.18**)

502.3.4.8 Security of Electronic Records

Effective Date: 09/11/2012

The System Owner and Agency Offices, in coordination with M/MS/IRD, must implement and maintain an effective security program for electronic information systems and electronic media. (See **ADS 508**, **ADS 545**, and **36 CFR 1236.14**)

502.3.4.9 Electronic Records Storage Media

Effective Date: 09/11/2012

Agency Offices and the System Owner must coordinate with M/MS/IRD and M/CIO in selecting appropriate media and systems that are acceptable to NARA for storing

electronic records throughout their life cycle and for archival purposes. For minimum requirements, see **36 CFR 1236.28 (a)**)

System Owners and Agency offices must ensure that information is not lost because of changing technology or deterioration by converting storage media to provide compatibility with the Agency's current hardware and software. Before conversion to a different medium, System Owners, in coordination with M/MS/IRD, must determine that the authorized disposition of the electronic records can be implemented after conversion.

If the medium does not have an authorized disposition for its system, the System Owner and Agency Offices must propose a disposition schedule and submit it to M/MS/IRD at **recordsinquiry@usaid.gov** for NARA's approval.

502.3.4.10 Retention and Disposition of Electronic Records

Effective Date: 09/11/2012

The Agency Offices and System Owner must work with M/MS/IRD to establish a proper disposition schedule for retention of electronic information systems and electronic records as well as related documentation and indexes by applying General Records Schedules as appropriate or submitting an **SF 115, Request for Records Disposition Authority** to NARA. The information in electronic information systems, including those operated for the Agency by a contractor, must be scheduled as soon as possible but no later than one year after implementation of the system.

The System Owner and Agency Offices must complete **SF 258, Agreement to Transfer Records to the National Archives** and submit it to M/MS/IRD at **recordsinquiry@usaid.gov** or room 2.07-070 for those electronic records that are eligible for transfer to the Washington National Records Center or NARA.

Users of electronic mail systems must delete the e-mail records after the e-mail record is preserved in a paper recordkeeping system (printed out in hard copy) along with all appropriate transmission data.

502.3.4.11 Destruction of Electronic Records

Effective Date: 09/11/2012

Electronic records must be destroyed in accordance with the USAID Electronic Records Disposition Schedule approved by NARA.

The Agency offices must establish proper procedures for destruction. The procedures must ensure protection of any sensitive proprietary or national security information. (See **36 CFR 1226.24 (a) 2**)

502.3.5 Audiovisual: Reviewing Existing Productions
Effective Date: 09/11/2012

Prior to authorizing any type of audiovisual production, employees must determine if existing productions are available to satisfy its needs. If there are no existing or commercial productions available, the Agency may produce, within existing budget limitations, additional productions to support program responsibilities.

The Agency must use the resources of the National Audiovisual Center (NAC) to request subject searches to determine what Federal productions exist. Agency employees must use the **Standard Form 282, Mandatory Title Check**, for this purpose.

Employees must review commercial media collections, either through catalogs or computer-based resources, to determine whether commercial productions exist.

Employees must prepare a Federal Audiovisual Production Report (SF-202) for all Agency productions, after consulting with the USAID Records Management Officer. Prior to production, applicable sections of SF-202, with information about materials planned or in process must be completed by the employee producing the materials and sent to NAC. Upon completion of an audiovisual production, the post-production section of the Standard Form 202 must be handled similarly.

502.3.5.1 Materials for Audiovisuals Productions
Effective Date: 09/11/2012

(1) **Still Photos and Motion Pictures.** When ordering photographic materials to create unscheduled or permanent records, Agency employees must ensure that still photo negatives and motion picture preprints (negatives, masters, etc.) are composed of cellulose triacetate on polyester bases and are processed in accordance with ANSI/ASC industry standards. (See **36 CFR 1237.16 (c)**)

(2) **Audio Recordings.** Permanent records or unscheduled audio recordings must be on 1/4-inch open-reel tapes at 3 3/4 or 7 ½ inches per second, full track, using professional unrecorded polyester splice-free tape stock.

(3) Agency employees must use only professional format video tapes (for example, 1-inch, ¾-inch) for record copies of permanent or unscheduled recordings.

502.3.5.2 Storage, Maintenance, and Preservation of AV Records
Effective Date: 09/11/2012

(1) Only trained staff is allowed to handle master copies of AV records.

(2) If approved by the appropriate officials within the Bureau/IO/Mission, Agency employees may lend copies outside the Agency if the original copy is retained by the Agency.

(3) Erasure or alteration of magnetic recordings must be prevented. One way to accomplish this is to disengage the recording mechanism on the playback equipment.

(4) Motion pictures in a final A&B format for the reproduction of excerpts or stock footage must be used.

(5) Environmental controls must be set for storage at 70 degrees F or cooler with 40 to 60 percent relative humidity. Even colder and drier storage conditions are recommended for color film, which is very sensitive to heat, humidity, and light.

(6) Negatives must be stored from prints and magnetic masters, separately from viewing or listening copies. Negatives are stored in a photography or film laboratory and working copies are stored in a media library.

(7) The storage area for master copies must be secured against unauthorized access and protect records from fire, water, and chemical damage.

(8) Jacket cut film negatives must be stored individually in acid-free envelopes. Store other audiovisual masters in non-corroding metal or inter plastic containers.

(9) Nitrate and diacetate type films must be stored separately and M/MS/IRD must sent them to NARA immediately.

(10) If different versions of the same production are prepared (for example, foreign-language versions), an unaltered copy of each version must be kept for record purposes.

502.3.5.3 Filing and Identification of AV Records

Effective Date: 09/11/2012

Agency employees must follow these procedures when filing and identifying AV records:

(1) Unimportant records must be separated from records of historical value to the Agency.

(2) Masters and working copies, such as negatives and prints, must be filed separately in order to permit more convenient use of each and to make it easier to take special care of the film negative or magnetic master, which is the most valuable copy of any audiovisual record.

(3) Captions or their equivalent must be provided on the records. Audiovisual records are not useful for retrospective research unless they are identified. For still photographs, the agency wide format for recording captions includes the date, location, names of people, event, copyright owner (if applicable), and unique identification number. Similar identification must

be recorded in a standardized format for every reel of motion picture film, videotape, and audio recording. Photographic captions must be stored separately to eliminate the damage that may result from trying to attach them to photographs.

(4) Unique identification numbers must be recorded on every negative jacket or storage container as well as corresponding prints or other working copies. By assigning unique numbers to each item, masters can be stored safely and be easily retrieved miles away from the working copies. Additionally, every container of motion picture film, videotape, and audio recording must have the generation clearly labeled--for example, A&B rolls, original camera negative, internegative, soundtrack, project print, video master, audio master--so that a negative or master is not inadvertently used for reference purposes.

(5) With videos, consumer formats must be used solely for distribution, reference copies, or subjects scheduled for disposal.

(6) An association between AV records and the finding aids for them such as listings, published and in-house catalogs, indexes--manual or automated systems must be maintained.

(7) Scheduling of most AV records in the Agency has already been accomplished by USAID in conjunction with NARA and can be found in the **Records Disposition Schedule**--USAID/W of this directive. The time-frames for retention and disposition carry the weight of the law, for which all employees are accountable.

(8) Per 36 CFR 1237, agencies must offer trims, and other unedited motion picture footage accumulated in the production of audiovisual products to the Special Archives Division (NNS) and NARA-Motion Picture Outtakes. Video raw footage must also be appraised by NARA at some time before disposal. Also, a **SF-115 form** must be submitted to and approved by NARA if schedules for disposal changes need to be made. (See **36 CFR 1237.12 (a) 3**, and **SF-115**)

502.3.6 Scheduling Records

Effective Date: 09/11/2012

A records schedule is a document that provides mandatory instructions for the disposition of records when they are no longer needed by the Agency. Disposition is a comprehensive term that includes both destruction and transfer of records to the National Archives of the United States. Records are scheduled to determine how long they can be legally kept. If it is determined that the record is not permanent the schedule will provide information about when and how to destroy the record(s). All record schedules must be approved by NARA. M/MS/IRD must submit record schedules to NARA. USAID has records schedules for Washington and Missions.

502.3.6.1 Records Disposition - USAID/W and Overseas Missions: Records Inventory and Disposition Plan

Effective Date: 11/26/2012

Assistant Administrators, Independent Office Directors, and Mission Directors must ensure that an active continuing program for managing Agency records is established and maintained, commensurate with the size, organization, mission, and recordkeeping activities of the unit.

A Records Inventory and Disposition Plan, also known as the File Plan, is a tool for managing the official files in each office. The file custodians create Files Plans for their section/office that must show the file series maintained, the disposition for the files, and the name and title of the files custodian. The RLOs are responsible for reviewing the file plans of each section in their Bureau, Independent Office, or Mission for accuracy, and then providing a consolidated submission to M/MS/IRD. File plans are due annually on November 30. File Plans should be submitted on **AID Forms 520-2** and **520-2A**.

502.3.6.2 Records Unidentified by Specific Disposition Instructions

Effective Date: 09/11/2012

Whenever a record series cannot be identified with a specific disposal instruction, the office accumulating the records must request establishment of maintenance and disposition instructions. These requests must be forwarded to the Records Management Liaison Officer (RMLO) for review, and must include a complete description of the new file. Requests should be e-mailed to **recordsinquiry@usaid.gov** **(See Disposal Authorization, 502.3.6.3)**

502.3.6.3 Disposal Authorizations

Effective Date: 09/11/2012

Records pertaining to claims and demands by the United States Government (USG) or against it, or to any accounts in which the USG is concerned, either as debtor or creditor, must not be destroyed under any disposal authorization until such claims, demands or accounts have been settled and adjusted by the Government Accountability Office, except upon written approval of the Comptroller General of the United States.

(1) Exceptions. Records having value in connection with any pending or prospective litigations must be retained until such litigations have been terminated. Bureau or Offices receiving requests for records or information in connection with litigations must inform the Assistant General Counsel for Litigation and Enforcement (GC/LE) immediately.

(2) Assistant Administrators, Independent Office Directors, and Mission Directors are responsible for insuring against inadvertent destruction of

any records of the types described above by having them segregated from other files that are destroyed under normal disposal procedures.

The RLO or File Custodian must ensure that:

(1) Sensitive But Unclassified (SBU) records are destroyed in accordance with **Executive Order 12958** and **12 FAM 540**; and

(2) A brief record is made of the volume of files destroyed.

The disposal authorizations contained in this ADS chapter apply to all records of the types described regardless of their physical location, e.g., central files, decentralized files, or working files at an individual's desk. This authorization applies to both classified and unclassified records unless otherwise specified.

502.3.6.4 Method of Destruction
Effective Date: 09/11/2012

All National Security Information and SBU authorized for destruction must be destroyed in accordance with the provisions cited in **502.3.6.5** through **502.3.6.6**.

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 must be treated as SBU.

502.3.6.5 Records of Destruction
Effective Date: 09/11/2012

Each RLO is responsible for ensuring compliance with the provisions of the Records Disposition Schedules and ascertaining that all records of the organization are covered by appropriate disposal instructions.

The office destroying the records must maintain a brief record showing the records destroyed. The staff member responsible for the records must maintain a record of the volume of material destroyed.

502.3.6.6 Emergency Destruction
Effective Date: 09/11/2012

Overseas Missions 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 stated in **36 CFR 1229, Emergency Authorization to Destroy Records**.

502.3.6.7 Retiring Files
Effective Date: 09/11/2012

In USAID/W, Agency employees must send retired records through the USAID Records Depository staging area in Room B2.06-C. The USAID Records Depository Team in M/MS/IRD will make arrangements for retired records to be shipped to Federal Records Center or commercial offsite storage facility. The USAID Records Depository Team will provide a copy of the approved shelf list with lot and/or accession numbers for retrieval of files, if needed. RLOs must keep this amended copy in a safe location as it is the only key to finding records that have been retired.

Temporary records eligible for retirement in overseas missions must be sent to a local storage facility unless the disposition specifically says to transfer them to USAID/W. Eligible permanent records in overseas missions must be sent to USAID/W after completing their required in-office retention times. If no local facility is available these records must be shipped, at Mission expense, to the USAID/W Records Depository Office for retirement. Missions in high-threat environments where threat of emergency exists must keep files covering no more than one fiscal year, in addition to the current fiscal year in their office space. All other files must be sent to USAID/W for retention or destruction. The following are guidelines for packing files:

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

(2) Group files of the <u>same</u> Disposition Item Number together and place them into official retirement boxes. Files must not contain a mix of classified and non-classified documents. Place the files into the least possible number of boxes – only the last box can be less than full.

(3) Face all folder labels in the same direction. All letter-sized folders must face the front of the box, and legal-sized folders must face the left when you look at the box from the front.

(4) Label boxes with their corresponding box numbers (ex. 1 of 3, 2 of 3, etc.) in the top right corner and the Lot number in the bottom right corner of the face of the box with a felt tip pen.

(5) Place a copy of the approved shelf list in Box #1 of the series that has that particular disposition.

(6) 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.

502.3.6.8 Review of the Schedule

Effective Date: 09/11/2012

Each Bureau and Office is responsible for ensuring compliance with the provisions of the Records Disposition Schedules and ascertaining that all records of the organization are covered by appropriate disposal instructions.

RLOs must initiate an annual review of the files to determine whether the applicable items on the schedules are adequate and being followed.

502.4 MANDATORY REFERENCES

502.4.1 External Mandatory References

Effective Date: 09/11/2012

a. **5 FAH-4 Records Management Handbook**

b. **5 FAM 400, Records Management**

c. **12 FAM 540 - SENSITIVE BUT UNCLASSIFIED INFORMATION (SBU)**

d. **36 CFR 1220.18; 1222; 1225; 1228.184; 1229; 1232; 1235.46; 1236; 1236.10; 1237.16(c)**

e. **44 U.S.C 2904; 3101; 3301**

f. **E-Government Act of 2002**

g. **Executive Order 12656**

h. **Executive Order 12958 - Classified National Security Information**

i. **Federal Records Act of 1950, as amended**

j. **Federal Information Resources Management Regulation (FIRMR)**

k. **Federal Rules of Evidence (Rules 803(6) and (8))**

l. **General Records Schedules issued by Archivist of the U.S.**

m. **NARA General Records Schedules**

n. **NARA Records Schedule for USAID**

o. **Office of Management and Budget in Circular OMB-130**

p. **Paperwork Reduction Act of 1980, as amended**

q. **Privacy Act of 1974**

502.4.2 Internal Mandatory References
Effective Date: 09/11/2012

a. ADS 502maa, Electronic Records Disposition Schedule

b. ADS 502mab, Strategic Objective Document Disposition Schedule

c. ADS 502mac, USAID/Washington and Mission Disposition Schedules-Table of Contents

d. ADS 502mad, Subject Outline Index

e. ADS 502mae, Subject Outline Codes

f. ADS 511, Vital Records Program

g. Introduction to the Subject Outline

502.4.3 Mandatory Forms
Effective Date: 09/11/2012

a. AID Form 502-1, Information Systems Inventory

b. AID Form 520-2, USAID Records Inventory and Disposition/File Plan

c. AID Form 520-2a, USAID Records Inventory and Disposition/File Plan Continuation Page

502.5 ADDITIONAL HELP
Effective Date: 11/16/2012

a. ADS 502saa, Records Management Client Analyst Portfolio

b. ADS 502sab, Quality Assessing Scanned Documents

c. ADS 502sac, Questions and Answers: Electronic Records Management and Scanning

d. ADS 502sad, How to Prepare Your Records for Scanning

e. Frequently Asked Questions

502.6 DEFINITIONS
Effective Date: 09/11/2012

A and B Rolls
Negative rolls of motion picture film, usually 16 mm, in which the shots are distributed between two rolls to permit special effect on printing. (**Chapter 502**)

Case files
Case Files relate to a specific action, event, person, organization, location, product, or thing. Case files often represent the "mission," "function," or work of the office. (**Chapter 502**)

chronological files
Chronological files (chrons) are copies of cables, letters, memoranda, etc., maintained for ease of reference in chronological order (by date of issue), or by serial number. (**Chapter 502**)

cloud computing
Cloud computing is a technology that allows users to access and use shared data and computing services via the Internet or a Virtual Private Network. (**Chapter 502**)

composite print
Film print combining picture and sound track. (**Chapter 502**)

contingency
A possible event that must be prepared for such as an emergency. (**Chapters 502** and **511**)

contingency planning
Instituting policies and essential procedures to mitigate the effects of potential emergencies or disasters on an agency's operations and records. (**Chapters 502** and **511**)

continuity
To go on with selected USAID programs in an actual state of contingency operating conditions. (**Chapters 502** and **511**)

convenience files
Convenience files consist of extra non-record copies of correspondence, forms, and other papers, kept solely to satisfy a particular reference need. (**Chapter 502**)

cycling (cycle)
The periodic removal of obsolete copies of vital records and their placements with copies of current vital records. This may occur daily, weekly, quarterly annually, or at other designated intervals. (**Chapter 502**)

data file
The actual information files within the system. It can be numeric, text, graphic, or combo. (**Chapter 502**)

database
A set of data, consisting of at least one data file, that is sufficient for a given purpose. (**Chapter 502**)

Database Management System
A software system used to access and retrieve data stored in a data base. (**Chapter 502**)

disaster
An unexpected occurrence inflicting widespread destruction and distress and having long-term, adverse effects on Agency operations. (**Chapters 502** and **511**)

disposition
The transfer, retirement, and/or disposal of records or non-record material. (**Chapter 502**)

The regulation of the fate, condition, application, and related conditions of property; the transference of property into new hands, a new place, condition, and so forth; alienation, or parting; as a disposal of property. (**Chapter 536**)

disposition schedule
A document providing mandatory instructions for what to do with records (electronic and hard copy)(and non-record materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. (**Chapter 502**)

dubbing
A duplicate copy of a sound recording or video, and the combination of sound materials from different sources such as dialogue, music, and sound effects into a single sound track. (**Chapter 502**)

electronic information system
A system that contains and provides access to computerized Federal records and other information. (**Chapter 502**)

electronic mail (e-mail)
Electronic method of Agency communications within USAID/Washington and throughout the mission locations via telecommunications links between computer terminals. (**Chapter 502**)

electronic mail message
A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message. (**Chapter 502**)

electronic mail system
A computer application used to create, receive and transmit messages and other documents. Excluded from this definition are file transfer utilities(software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or data bases on either personal computers or mainframe computers, and word processing documents not transmitted on an e-mail system. (**Chapter 502**)

electronic recordkeeping system
An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use and disposition. (**Chapter 502**)

electronic records (ER)
Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 U.S.C. 3301. (**Chapter 502**)

electronic records system
Any information system that produces manipulates or stores records by using a computer. (**Chapter 502**)

emergency
A situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. This is generally a short duration, for example, an interruption of normal Agency operations for a week or less. It may involve electrical failure or minor flooding caused by broken pipes. (**Chapters 502** and **511**)

emergency operating records
The type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. (**Chapters 502** and **511**)

file plan
A file plan lists the records in your office, and describes how they are organized and maintained. A good file plan is one of the essential components of a recordkeeping system, and key to a successful records management program. Office File Plans Reports are due to M/MS/IRD by October 31st of each fiscal year. (**Chapter 502**)

General Records Schedule (GRS)
A National Archives and Records Administration (NARA) issued schedule governing the disposition of specified records common to several or all agencies. (**Chapter 502**)

information systems (IS)
The organized collection, process-ing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. (**Chapters 502**, **562**, **620**)

intermediate
Any film copy, other than a camera original, intended for use only in making duplicates, such as a color internegative, a duplicate positive, or a duplicate negative. (**Chapter 502**)

internegative
A color negative duplicate made from a color positive and used for printing use-copies to protect the originals. (**Chapter 502**)

inventory
A survey of basic and indispensable records necessary for the operational continuity of selected USAID programs under unusual conditions. (**Chapter 502**)

Inventory is a physical count performed to determine the on hand quantity of an item or group of items. (**Chapter 534**)

life cycle of the record
Management concept that records pass through three stages: creation, maintenance and use, and disposition. (**Chapter 502**)

log book
a) A step-by-step written record of the activities of making a motion picture/video. Separate logs are usually kept for camera and sound recording activities; and b) a listing, usually in chronological order, of still photographs. (**Chapter 502**)

maintenance of records
All operations incidental to the upkeep of an organized filing system. (**Chapter 502**)

master positive
A positive print made from the original negative film and used to prepare duplicate negatives. (**Chapter 502**)

medium (media)
The physical form of recorded information, includes paper, film, disk, magnetic tape and other materials on which information can be recorded. (**Chapter 502**)

NARA Electronic Records Archive (ERA)
NARA's new system that allows Federal agencies to perform critical records management transactions with NARA online. Agency records management staff will use ERA to draft new records retention schedules for records in any format, officially submit those schedules for approval by NARA, request the transfer of records in any format to the National Archives for accessioning or pre-accessioning, and submit electronic records for storage in the ERA electronic records repository. (**Chapter 502**)

National Archives and Records Administration (NARA)

The Federal organization responsible providing records management guidance and for appraising, accessing, preserving and making available permanent records. (**Chapter 502**)

negative film
Film in which the dark portions of the original image appear light and the light portions dark. Used as the master copy from which positive copies can be made. (**Chapter 502**)

non-record material
U.S. Government-owned informational materials excluded from legal definition of records; documentation/correspondence that does not document USAID's policies, procedures, practices or operations. Includes extra copies of documents kept only for convenience or reference, stocks of publications of processed documents, and library or museum materials intended solely for reference or exhibition. (**Chapter 502**)

outtake
Any shot removed from a motion picture film or video during editing. (**Chapter 502**)

permanent records
Records which have been given the disposition of permanent by National Archives (NARA) in USAID Disposition Schedules (See USAID Disposition Schedule). Permanent AV records (tapes, motion picture reels, etc.) are transferred to NARA after a designated number of years. (**Chapter 502**)

positive film
Film in which the dark portions of the original appear dark and light portions light. (**Chapter 502**)

receipt data
Receipt data: Information in electronic mail systems regarding date and time of receipt of a message, and/or acknowledgment of receipt or access by addressee(s). (**Chapter 502**)

records
All books, papers, maps, photographs, machine readable materials, electronic documents (e.g., e-mails) or other documentary materials, regardless of physical form or characteristics that are made or received in connection with the transaction of the Agency's business. . (**Chapters 502**)

records custodian
Agency employee who creates, records, stores, retrieves and disposes of records pertaining to Agency official business. (**Chapter 502**)

records schedule

A records schedule provides mandatory instructions for the disposition of the records (including the transfer of permanent records and disposal of temporary records) when they are no longer needed by the agency. As part of the ongoing records life cycle, disposition should occur in the normal course of agency business. (**Chapter 502**)

recovery
To restore USAID programs/activities from a contingency state to their usual state under normal operating conditions (the rebuilding phase). (**Chapter 502**)

release print
The final version of a motion picture film that has been distributed for public viewing. (**Chapter 502**)

script
Written specifications for an aspect of a video or motion picture production, such as settings, action, camera coverage, dialogue, narration, music, and sound effects. (**Chapter 502**)

shot list
A list of shots in a completed motion picture film often used for classification purposes. (**Chapter 502**)

social media
Term that refers to sites on the internet that contain mobile-based tools or applications that are used for sharing and discussing information. Social media is broken into three categories: (1) File Sharing/Storage, (2) Social Networking and (3) Web Publishing. (**Chapter 502**)

sound track
The portion of the length of film reserved for the sound record or any length of film bearing sound only. (**Chapter 502**)

special types of records
Records which, because of their size or physical characteristics, must be kept in a separate group. They include films, disks, and tape records which require special equipment and handling, cartographic materials and drawings, cards (manual and machine type), and computer printouts. (**Chapter 502**)

stock footage
Unedited motion picture, film or videotape of scenery and action that is retained for future use. (**Chapter 502**)

structured data
This term is used to describe data that resides in a database or information system. This data is generally organized and more searchable than unstructured data. USAID

has several information systems such as GLAAS, Phoenix, ASIST, Web TA and E2 Travel. (**Chapter 502**)

subject files
Relate to standard categories, functions and interests, and consist of general file materials of incoming originals and outgoing copies of letters, memoranda, cables/telegrams, e-mails, faxes, reports and documents involving a wide variety of topics. (**Chapter 502**)

subject filing
The process of arranging and filing records according to their general informational content. The purpose is to bring together all papers on the same topic to make it easier to retrieve information when it is needed. (**Chapter 502**)

System Owner (SO)
An individual or office responsible for the creation, update, maintenance, and disposition of an electronic data system, database, or automated program. Systems currently in use are listed in the Mandatory Reference section of Chapter 502 under Electronic Records Disposition Schedule. (**Chapter 502**)

technical documentation
Records required to plan, develop, operate, maintain, and use electronic records and software. Included are systems specification, file specification, code books, records layout, user guides, and output specifications. (**Chapter 502**)

technical reference files
Copies of documents retained strictly for reference and informational purposes and which are not part of the official files. Sometimes called technical reference materials or reference publications. The technical reference file group consists of printed or processed material that has no record value but has a direct relationship to the work of the office. They include such material as technical reports, manuals and other directives, pamphlets, periodicals, and guides. They are collected for use as working tools. (**Chapter 502**)

text documents
Narrative or tabular documents, such as letters, memorandums, and reports, in loosely prescribed form and format. (**Chapter 502**)

transitory correspondence
Includes transmittal letters or forms, routine requests for information, publications or communications, acknowledgments, and other similar types of papers of short term interest which have no documentary or evident value and normally need not be kept more than 90 days. (**Chapter 502**)

transitory files

Contain correspondence that ordinarily would be filed in subject files except they pertain to matters of short-term interest. They constitute a separate record series because of the disposal date. (**Chapter 502**)

transmission data
Transmission and receipt data: Information in electronic mail systems regarding the identities of sender and addressee(s), and the date and the time messages were sent. (**Chapter 502**)

unscheduled records
Records (including AV records) for which a disposition has not been assigned, because the records don't fit any of the existing categories, or because they represent a new AV medium. (**Chapter 502**)

unstructured data
This term is used to describe data that does not reside within a database or information system. Some examples of unstructured data would be word documents, PowerPoints, email messages, and excel spreadsheets. (**Chapter 502**)

user's guide
A package of descriptive and technical documentation prepared for use with a data file. (**Chapter 502**)

users
Anyone responsible for complying with operating procedures or technical documentation in utilizing a system throughout its life cycle. (**Chapter 502**)

Vital Records
Essential Agency records that are needed to meet operational responsibilities and to protect the legal and financial rights of the Government and those affected by Government activities during a national security emergency or disaster. (**Chapters 502** and **511**)

Web 2.0
Another term to describe social media. Term that refers to sites on the internet that contain mobile-based tools or applications that are used for sharing and discussing information. Social media is broken into three categories: File Sharing/Storage, Social Networking and Web Publishing. (**Chapter 502**)

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