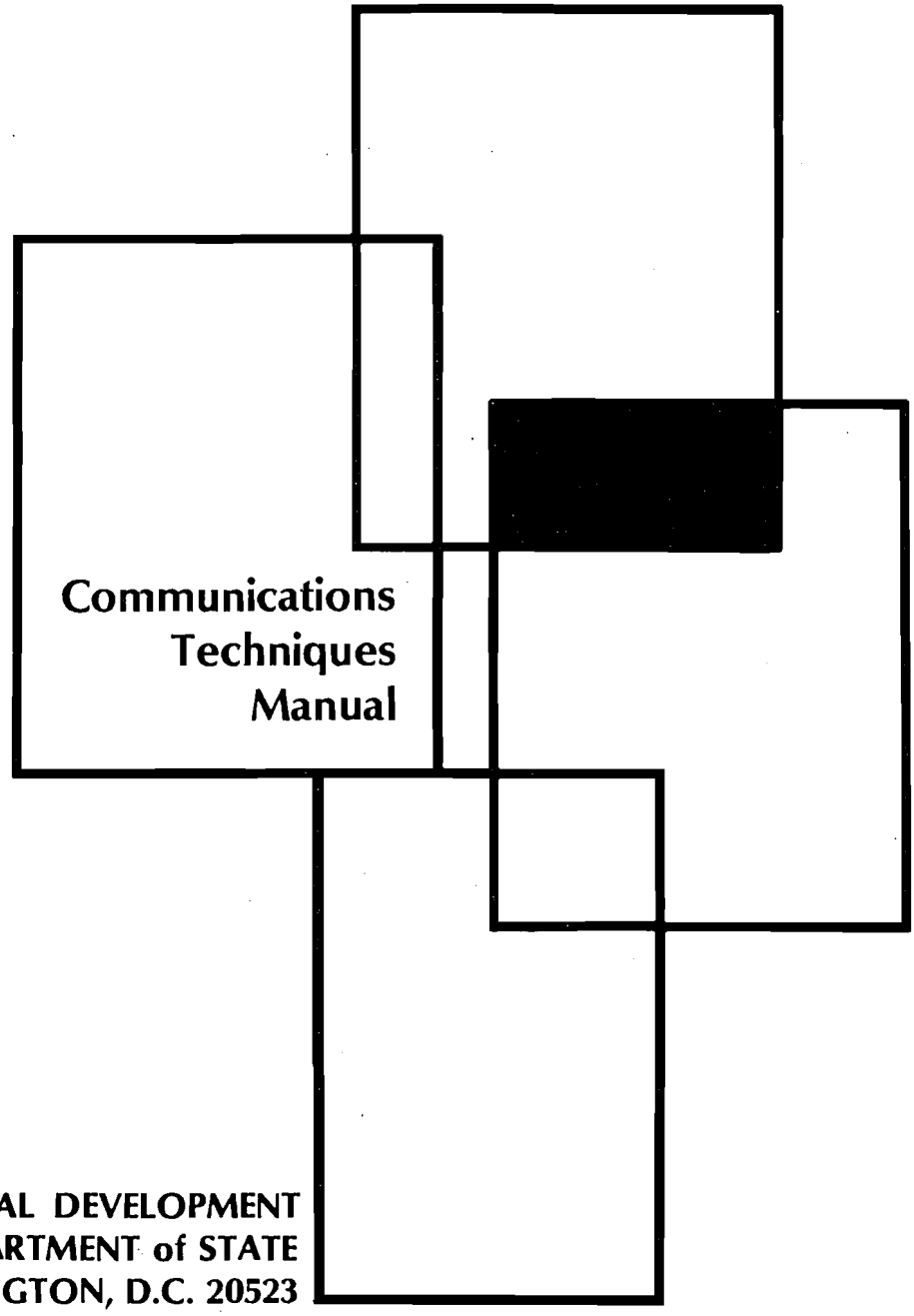
Communications Handbook 21 Part II



AGENCY for INTERNATIONAL DEVELOPMENT
DEPARTMENT of STATE
WASHINGTON, D.C. 20523

PART II: Communications Techniques

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE November 6, 1992	TRANS. MEMO NO. 21-II:19

MATERIAL TRANSMITTED:

Handbook 21, Part II - Records Management

Chapter 2, Files Planning and Organization, has been revised to include the modifications to AID Form 520-2. The new form includes both the traditional and metric equivalent units.

FILING INSTRUCTIONS:

1. REMOVE PAGES: REPLACEMENT PAGES:

REMOVE PAGES	REPLACEMENT PAGES
TC-1 and TC-2 of Chapter 2 (21-II:1)	TC-1 and TC-2
2-5 thru 2-12 (TM 21-II:1)	2-5 thru 2-12

2. Initial the Transmittal Memorandum Checksheet (in the back of the Handbook binder) beside TM 21-II:19.

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CHECKLIST FOR PART II OF HANDBOOK 21

RECORDS MANAGEMENT

AUTHOR OFFICE: FA/AS/ISS/RM

DATE	MATERIAL TRANSMITTED	TM NO.
10-1-87	Complete Part II	21-II:1
12-29-87	Pages 6A-86 and 6A-86a of Appendix A, Chapter 6	21-II:2
5-3-88	Pages 6A-i, 6A-ii, 6B-i and 6B-ii of Appendices A and B of Chapter 6	21-II:4
Various	Pages 6B-19 thru 6B-20 of App. 6B	21-II:5
Various	Pages 6-5, 6-6, 6-17 and 6-18 of Chapter 6	21-II:6
7-12-89	TOC and Chapter 7	21-II:7
Various	Pages 6B-5 and 6B-6 of App. 6B	21-II:8
1-1-90	Page 6B-20a of App. 6B	21-II:9
1-22-90	Pages 6C-1 thru 6C-20 of Chapter 6	21-II:10
1-22-90	Page 6C-TC-1, pages 6C-27 and 6C-28 of App. 6C	21-II:11
Various	Pages 6A-5 thru 6A-12a of App. 6A	21-II:12
Various	Pages 6A-1 thru 6A-4 of App. 6A	21-II:13
9-14-90	Pages 6A-IND-1 and 6A-IND-7	21-II:14
Various	Pages 6A-13 thru 6A-22a	21-II:15
3-26-91	Pages 6C-21 thru 6C-24a	21-II:16
2-21-92	TOC and pages 6-19 thru 6-22 of Chapter 6	21-II:17
4-15-92	TOC and Chapter 8	21-II:18
11-6-92	TC-1, TC-2, 2-6 thru 2-9, and 2-11 & 2-12 of Chapter 2	21-II:19

AGENCY FOR INTERNATIONAL DEVELOPMENT

HANDBOOK TRANSMITTAL MEMORANDUM	DATE April 15, 1992	TRANS. MEMO NO. 21-II:18

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Handbook 21-II - Records Management

Chapter 8, Electronic Recordkeeping, has been incorporated to provide policy and procedures for the creation, maintenance, use and disposition of records created in electronic form. In addition, the chapter cites laws and regulations requiring the issuance of this chapter.

SUPERSEDES:

None

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1-22-90	Pages 6C-1 thru 6C-20 of Chapter 6	21-II:10
1-22-90	Page 6C-TC-1, pages 6C-27 and 6C-28 of App. 6C	21-II:11
Various	Pages 6A-5 thru 6A-12a of App. 6A	21-II:12
Various	Pages 6A-1 thru 6A-4 of App. 6A	21-II:13
9-14-90	Pages 6A-IND-1 and 6A-IND-7	21-II:14
Various	Pages 6A-13 thru 6A-22a	21-II:15
3-26-91	Pages 6C-21 thru 6C-24a	21-II:16
2-21-92	TOC and pages 6-19 thru 6-22 of Chapter 6	21-II:17
4-15-92	TOC and Chapter 8 (including tab)	21-II:18

HANDBOOK 21

PART II

RECORDS MANAGEMENT

Chapter 1. The A.I.D. Records Management Program

Chapter 2. Files Planning and Organization

Chapter 3. Files Maintenance

Chapter 4. Subject Files

Chapter 5. Case Files

Chapter 6. Records Disposition

Chapter 7. Vital Records {Reserved}

INTRODUCTION

TO

HANDBOOK 21, PART II

Welcome to Part II of Handbook 21, Records Management, the successor to Part III, Communications, issued in 1975. The new Part II is the second half of Handbook 21. Part I, Communications Management, is printed under separate cover.

The objective of Part II is to inform personnel of their responsibilities under the Agency's Records Management Program. It is designed to guide records personnel, secretaries, and file custodians in the proper maintenance and disposition of official files, bringing together in one source all records management policies and procedures.

This introduction highlights some of the major changes in records management contained in the Handbook:

- The Records Disposition Schedule (Appendix 6A-6C) accelerates the destruction of many Agency records while requiring the retention of some records in the office or at post for a longer period;

- The Records Disposition Schedule allows offices and missions to be more discriminating in the records retained; although some records will be retained longer on site, the volume of records retained will be substantially reduced;

- A new numbering system will permit development of Agencywide and post-level automated management information systems; retrieval of retired records will be facilitated;

- The revised Subject Outlines are simplified while permitting greater flexibility of subject file organization by offices and missions;

- The key post and office level records management tool becomes the Files Maintenance and Disposition Plan.

The Records Disposition Schedule is divided into three sections: A.I.D./W, U.S.A.I.D., and Machine Readable Records, found in Appendices 6A, 6B, and 6C respectively. The disposition stipulations to all three were changed substantially when the National Archives and Records Administration mandated that Federal agencies be more specific in their disposition instructions.

The Schedule has also been altered greatly in its organization and makeup. In the previous edition, the Schedule was combined with the Subject Outlines and linked with the subject classification code (e.g. ADM 7, HLS 1). Now the Schedule is separate and apart from the Outlines and is used independently of any subject classification considerations. The new arrangement enables the Schedule to include dispositions not only for subject files, but case files, reference files and other types of files beyond the scope of the subject file arrangement.

The present Disposition Schedule has been arranged in such a way that it reflects the organizational structure and functions of A.I.D. It contains a chapter on "Records Common to Most Offices," which covers the disposition of files dealing with common office-related matters such as budget, personnel, and administration. In addition, each chapter covers an A.I.D. function such as Procurement and Contracting or organizational element such as BIFAD, so that users need to consult only those chapters in the Schedule that pertain to their office function or responsibility.

There have been innovations in Schedule numbering as well. The chapters in the A.I.D./W Schedule are numbered 1 through 20, while the chapters in the U.S.A.I.D. Schedule are numbered 25 through 40. The Schedule on Machine Readable Records (not yet released) will start with Chapter 45. Item numbers on the left side of each page (e.g. 25180) have been introduced to act as a "handle" to each disposition instruction. These numbers will become identifiers for future automated systems and are used by the Washington National Records Center in storing and disposing of records. The first part of each item number refers to the chapter and the remainder is a sequence number. More information on the Records Disposition Schedule (Appendix 6A-6C) can be found in the introduction to each Schedule.

Another new feature of the Handbook and records management practice is the Files Maintenance and Disposition Plan. It is now a standardized form--AID Form 520-2--that can be obtained from M/SER/MO/RM/PPM. The Files Plan is the only document which lists the office/post official records and ties that list with the disposal instructions from the Records Disposition Schedule. Thus the Plan indicates what the records holdings are, where they are located, and when they will be retired/destroyed. A sample of a filled-in Files Plan is found, together with instructions, in Figures 2-3 and 2-4 of chapter 2. Users are urged to make the transition from any currently used plans to Form AID 520-2 at the earliest opportunity.

The Subject Outlines have undergone a transformation as well, as subject groups have been added or deleted in order to reflect changes in the Agency's goals and functions. The Index to the Outlines has been updated to reflect these changes. More information on the Outlines can be found in Chapter 4, Subject Files, and in the Introduction to the Subject Outlines in Appendix 4A.

It is hoped that the foregoing has helped introduce the new Handbook. If there are any questions, please contact M/SER/MO/PA/RM in A.I.D./W.

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THE A.I.D. RECORDS MANAGEMENT PROGRAM

CHAPTER 1

THE A. I. D. RECORDS MANAGEMENT PROGRAM

1A. Background and Policy

The A.I.D. Records Management Program is designed to provide effective controls over the creation, organization, maintenance, use and disposal of Agency records. Agency policy is to assure that important policies and decisions are adequately recorded and that routine operational paperwork is kept to a minimum. Procedures of this handbook will insure that records are maintained economically and efficiently and in such a manner that their maximum usefulness is attained. They will insure that records of continuing value are preserved but that records no longer of current use to the Agency are promptly disposed or retired.

1B. Applicability

The provisions of Handbook 21, Part II, apply to all personnel who maintain and dispose of Agency records.

1C. Authority

The statutory basis for these regulations is contained in the Federal Property and Administrative Services Act of 1949, as amended, the Federal Records Act of 1950, (44 USC 3101-3107) as amended, and the Records Disposal Act of July 7, 1943 as amended. The Federal Information Resources Management Regulations (FIRMR) (41 CFR) 201-45 issued by the General Services Administration (GSA) provide Agency regulations for the implementation of these laws.

1D. Ownership and Custody of Records

Records created or received by the Agency are the property of the United States Government, and must be safeguarded against loss, theft, alteration, or breach of security. No Government employee, contractor, or participant may acquire proprietary interest in A.I.D. records under his or her custody. In those cases where A.I.D. has residual activities overseas but no active A.I.D. office exists, control of A.I.D. records is delegated to the American Embassy.

1. Contractors and Participating Agencies

Records created or received by contractors or participating agencies in carrying out their tasks remain the property of the contractor or participating agency unless the contract specifically provides otherwise.

2. Department of State

Records pertaining to A.I.D. personnel and to A.I.D. administrative activities, that are created, received, and maintained by a joint administrative organization under the Department of State, are records of the Department of State. As such, they are kept and managed in accordance with Department of State regulations. Program records created by A.I.D. staff must remain in A.I.D. ownership and custody.

1E. Responsibilities

1. Records Management Branch

a. The Records Management Branch (M/SER/MO/PA/RM)) is responsible for the overall management of the Agency records program. The Branch provides program direction, guidance, and technical assistance. Specifically, the Records Management Branch:

(1) Prescribes basic policies and procedures for the creation, maintenance, transmission, use and disposal of official records;

(2) Coordinates the development and approval of Agency records retention and disposition standards;

(3) Provides technical assistance and guidance to offices; and

(4) Surveys the A.I.D. records maintenance and disposition system and recommends improvement.

b. The Chief of the Records Management Branch serves as the A.I.D. Records Management Officer (RMO) and has general responsibility for implementing the Agency's records management program.

2. Heads of Bureaus, Staff Offices, and Overseas Posts

The head of each bureau, staff office, and overseas post is responsible for implementing effective records management procedures within his or her organization. To accomplish records management responsibilities, each of these officials must designate a Records Management Liaison Officer (RMLO).

a. Records Management Liaison Officers (RMLO's)

RMLO's supervise implementation of the A.I.D. File System, recommend location of file stations, assist and direct activities of files custodians, provide supplementary records training, and insure that records eligible for disposal are removed from office space. A copy of each RMLO designation (or subsequent redesignation) must be forwarded to M/SER/MO/PA/RM.

b. Files Custodians

Files custodians are responsible for the operation of files stations in accordance with prescribed standards and procedures contained in this handbook. Their duties include:

(1) Maintaining files on a current basis;

(2) Disposing of inactive files by retirement or destruction, as appropriate.

(3) Providing reference service to active and retired files and returning charged-out material to the appropriate file.

1F. Distinction Between Records and Non-Record Material

1. Official Records

a. Official records are documentary materials regardless of physical form or characteristics that are made or received either in pursuance of Federal law or in connection with the transaction of public business and are preserved or are appropriate for preservation by the Agency because of the informational data they contain or as evidence of the organization, functions, policies, decisions, procedures, operations of other activities of the Agency or because of the informational value of data contained therein.

b. Correspondence designated "personal," "confidential," "private," or in some similar manner, but relevant to the conduct of public business, are official records subject to the provisions of Federal law. If an official receives private, personal correspondence that includes portions that relate to official business, the official shall extract those portions that pertain to official business and make them part of the official files.

c. Decisions, commitments, and discussions of any significance which are oral in nature must be made a matter of record. These transactions might occur person-to-person, by telephone, in a staff meeting, or in a conference. The information should be recorded in a memorandum for the record and included with the official record.

2. Non-Record Material

Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications or processed documents are non-record materials. Although offices may require extra copies of official records, such documents should be kept to an absolute minimum, maintained separately from official files, and should be destroyed as soon as they have served their purpose.

1G. Maintenance of Personal Papers in Office Space

Employees normally should not maintain records or documents of a purely personal nature within the workplace. If maintained within the workplace, such documents must be maintained separately from official or working files and must be clearly labeled "personal papers" and shall show the name of the person accumulating the papers.

Materials that are considered personal papers include:

1. All personal and private papers which do not contain references to official business.

2. Personal calendars, diaries and logs that concern primarily personal activities, provided that official portions are extracted to document official records.

3. Handwritten notes, reminders, and summaries of telephone calls, provided that all official information has been incorporated in a memorandum for the record and placed in the official file.

4. Reference books and other personal items brought from private life.

1H. Access to Records

Official A.I.D. records may be used by all A.I.D. employees, the U.S. public, participating agencies, consultants, scholars, and researchers, with the following restrictions:

1. Classified and Administratively-Controlled Records

Conditions controlling access to security classified and administratively controlled records are set forth in Handbook 6, Security.

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, are privileged, even though they may not have security or administrative control markings. Access to, and use of, these records may be restricted. Conditions controlling access to such records are set by the Freedom of Information Act, the Privacy Act, and by Agency regulations.

3. Access for Public Research

It is the policy at A.I.D. to make information freely available to the public, subject only to the restrictions above. Any questions concerning the access to A.I.D. records should be addressed to the Office of Public Inquiries (XA/PI).

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* REVISED

CHAPTER 2

FILES PLANNING AND ORGANIZATION

2A. Planning and Organizing Files

1. General

The provisions of this chapter are intended to promote efficient and economical practices in office records maintenance and files procedures. It provides an organized system for maintaining Agency records, facilitates the selection and retention of records of archival value, and disposal of non-current records.

2. Identifying Files Groups or Series

Records are organized by files groups or series so that like records are maintained together. The separation of records into file groups makes it easier to file and find papers and simplifies the disposal of records since Agency records maintenance standards provides for records transfers and disposals by series designations.

Records usually fall into the same series because they are arranged under a single filing system with an established arrangement pattern, such as alphabetical, numerical, chronological, or by subject classification. Sometimes records fall into the same series because they relate to a particular subject or activity and thus are kept together as a unit, or they might be grouped together because they have a particular form in common, e.g., microfilm or tapes.

Common files groups and series are:

a. 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. In A.I.D., case files account for the largest proportion of records. Common Agency case files include development asssistance project files, the official personnel files, loan files, and the contract files. All items relating to a particular case, i.e. development project, individual employee, loan or contractor, are filed together. (See Chapter 5.)

b. Case Working Papers

Case working papers consist of bulky background or supporting papers such as spreadsheets, questionnaires, notes, and machine listings. Individual case working papers are often needed for budget, project, loan, contract, and similar case files which have large amounts of background or supporting papers.

c. Subject Files

Subject files relate to standard categories, functions and interests, and consist of general file materials of incoming originals and outgoing yellow (record) copies of letters, memoranda, telegrams, reports and documents involving a wide variety of topics. They are arranged according to the alpha-numeric code system found in the Subject Outlines in Chapter 4.

d. Technical Reference Files

Technical reference files are 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, guides and handbooks. They are collected for use as working tools and include both external and internal publications. Most are printed or reproduced copies.

e. Convenience Files

Convenience files consist of extra non-record copies of correspondence, forms, and other papers, kept solely to satisfy a particular reference need. They include such extra copy materials as reading or chron files, suspense or tickler files, office copies of Agency notices, and selected documents reflecting policies, precedents and procedures.

f. Transitory Files

Transitory files contain correspondence that ordinarily would be filed in subject files except that they pertain to matters of short-term interest. They are kept separate and retained only from 2 to 6 months. They constitute a separate record series because of the disposal date. Transitory correspondence includes transmittal letters or forms, routine requests for information, publications or communications, acknowledgments, and other similar types of papers.

g. Special Types of Records

There are records which because of their size or physical characteristics should 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.

3. Designating Files Stations

Each A.I.D./W office and overseas post must designate official files stations where official Agency records will be maintained. Official files stations should be established at locations convenient to files users. Proper maintenance and controls over the use of official records must be provided. Official records maintained at the files stations should be identified and appropriate procedures established within offices to ensure that records are filed at their designated files stations.

4. Files Arrangement

Once organized into logical records groupings, files should be arranged in a systematic manner. The three basic arrangements for files are alphabetical, numerical, and chronological.

a. Alphabetical Arrangements

This arrangement is used to file documents by names of persons, companies, agencies, etc. in alphabetical sequence. Types of records that are often filed alphabetically include:

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

(2) Geographic Files. Papers can 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, counties, cities, or units of local government.

(3) Organizational Files. This arrangement will be used when the name of the organization is the primary means of reference.

b. Numerical Arrangements

This arrangement is used to arrange records identified and referenced by number, such as project files or purchase orders. Numbers should not be assigned to documents for the sole purpose of arrangement for filing because this practice requires the establishment of additional indexes to locate documents.

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

(2) Duplex numbers. Duplex numbers consist of two or more parts separated by a dash, space, or comma, e.g., 942-0001, 942-0002, 942-0003. Papers are arranged in straight numerical sequences by the first part of the number and thereunder by succeeding parts.

c. Chronological Arrangements

A chronological file is usually arranged in separate incoming and outgoing series for each type of document, i.e., one for cables and one for correspondence, and by sequential date or numerical order--with latest date or highest number at the front of the folder.

5. Filing Security Classified Papers

Classified papers must be filed apart from unclassified papers in security file cabinets or secure areas as provided in Handbook 6, Security. It is advisable to prepare a cross-reference sheet and place it in the unclassified file. If the volume of classified papers is small, it may be maintained as a central security file in a common-use office or division. When this is done, cross-reference sheets should be placed in the unclassified file to show where the related classified papers are located. In overseas offices classified papers must be stored separately.

6. Filing Bulky Material

Bulky material should be filed separately in storage equipment suited to its size, and maintained in file classification, date, or serial number order. A cross-reference to bulky material should be prepared and filed with related file papers or a notation concerning the

2A6

bulky material should be placed on related file papers. Bulky material should be marked to show classification and other information necessary to relate it to associated papers. A cross-reference form should be attached to the bulky material.

7. Use of Labels, Guides, and Folders

The office filing system can be made easy to use through the proper use of guide cards, labels and folders. These aids help to separate records into their established files groups and thereby assist in filing and retrieving documents.

a. File Guides

File guides reduce the area of search by dividing files and identifying each division. File guide tabs show the relationship between broad and specific breakdowns of files. For example, the first position guide tab normally shows the primary file title, the second position the secondary breakdown, and the third position the tertiary breakdown. In addition, guides provide support for the material in a file. The following standards should be observed for file guides:

(1) Do not use too many guides. Active files may require a guide for 10 or more folders.

(2) Place guides at logical breaking points within a file, such as the beginning of each major division, each primary file category, or each group of cases.

(3) Reuse guide cards, whenever practical, by withdrawing them from inactive files before their destruction or retirement.

b. File Folders

The medium weight 11-point Kraft folder meets the general filing requirements of most offices. This is the standard file folder for use in AID. The use of other types of folders is discouraged and, as a general rule, the request for purchasing will not be approved. When ordering, check the GSA Customer Supply Center for the latest series number. The following standards shall be observed:

(1) Salvage of folders, except possibly the heavyweight pressboard type, is discouraged when disposing of papers since the possible savings from this salvage are exceeded by the cost in labor.

2A7b

(2) Separate folders should not be prepared for potential secondary and tertiary subdivision titles which will accumulate only a few (10 or fewer) papers. Instead, file secondary subdivision titles with related primary titles, and tertiary subdivision titles with related secondary subdivision titles. However, primary file categories shall not be combined regardless of how small the accumulation in any one category.

(3) Special type or bound documents may not require folders. This material can be kept directly between guide cards or in accordion-type filing jackets.

8. Labeling

Label file drawers, guide cards, and folders to aid filing, searching and disposition. Drawer labels narrow the area of search to one drawer, folder labels to the contents of one folder. Labels should be typed; when this is not practical, they should be legibly handwritten.

a. Drawer Labels

A general-purpose drawer label is used on each file drawer to show (Fig. 2-1):

(1) The complete file title or a general description of files in the drawer;

(2) The year or years covered, or whether the file is active or inactive;

* (3) The Item/Series Number, and the part of a particular file grouping in the drawer. When a file drawer contains more than one primary file category, drawer label information may be limited to a brief general description with more specific information placed on guide or folder labels.

LABELING FILE DRAWERS

01120 SUBJECT FILES AGR - HLS SUBJECT FILES FY XX	01240 TURKEY 083-110 PROJECT FILES FY XX - XX

*

FIGURE 2-1

* REVISED

2A8

b. Folder Labels

(1) Standard file labels used at AID are white, pressure sensitive, with either a yellow or a green band across the top. Yellow banded labels are required for official files, and green banded labels for working files.

(2) The file labels are attached in the first or left position of file guides and folders for primary subject file categories and all case files. These labels also may be attached to file guides to show the location of records maintained separately from the main body of records, such as a bulky file.

(3) Labels on subject files are used to identify primary, secondary, and tertiary file categories. These labels should reflect the following information in three or less typed lines (Fig. 2-2):

(a) The alpha-numeric symbol of the subject file category, taken from the Subject Outlines in this handbook.

(b) The prescribed file title for these file categories and, for subdivisions, the specific name, event, type of document, geographic location, or number.

(c) The year in fiscal year (FY) format, typed in the lower right-hand corner of the label.

(d) Inclusive dates of the contents for folders that have been broken or cut off.

* 9. Records Inventory and Disposition Plans

Each bureau or office and overseas post must prepare a written Records Inventory and Disposition Plan listing the files maintained at each designated files station. The Files Plan shows the location of the file station, the files series maintained, the disposition for the files, and the name and title of the files station custodian. The files series and disposal time noted above can be found in the Records Disposition Schedule in Appendix 6A-6C of this handbook. The Records Inventory and Disposition Plan should be distributed to files custodians and operating officials who use the records. One copy of each Files Plan is sent to the Agency Records Management Officer, FA/AS/ISS/RM in AID/W.

*

* REVISED

ILLUSTRATION OF FILE FOLDERS
SHOWING CORRECT POSITION OF LABELS
AND
FOLDER LABEL INFORMATION

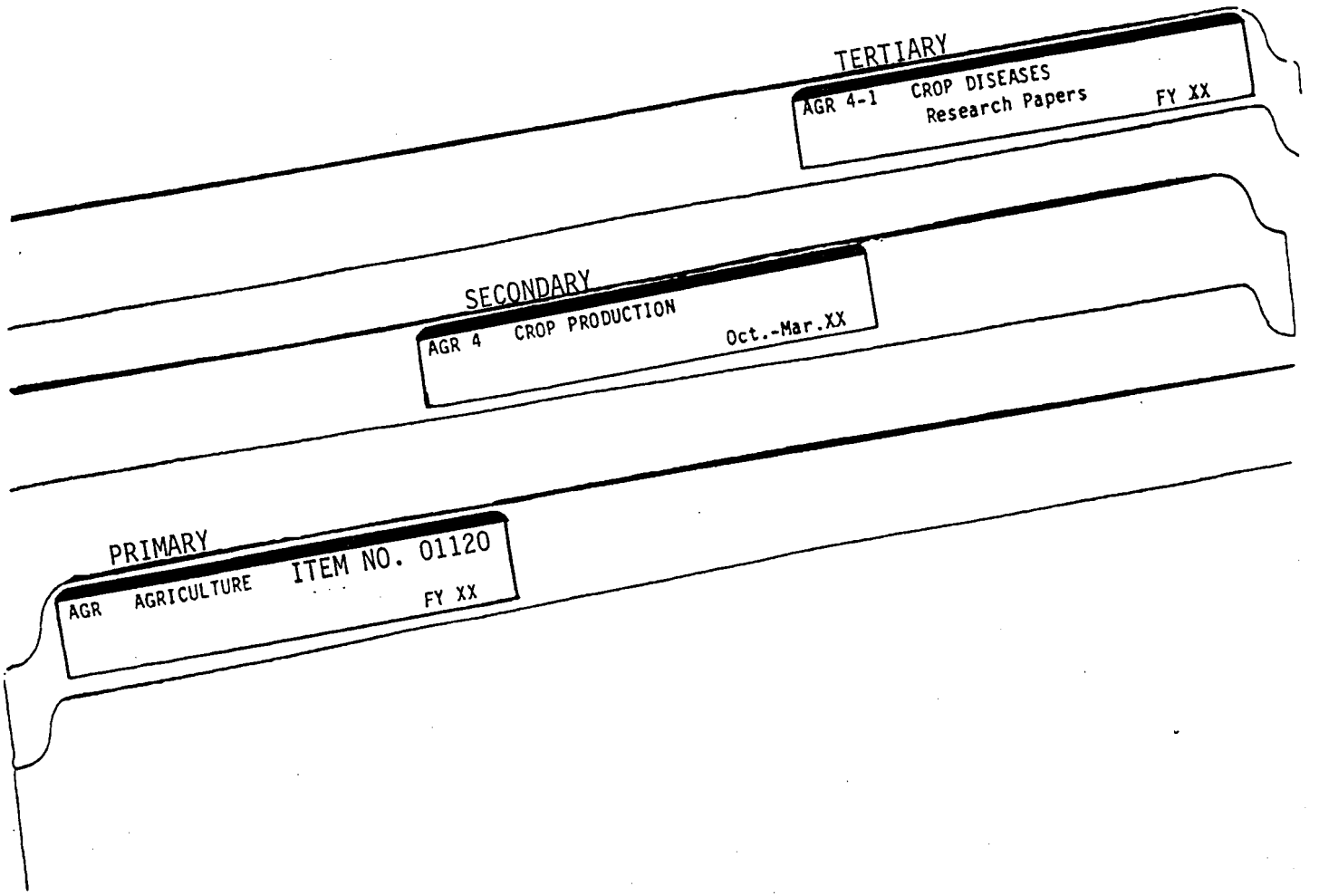

FIGURE 2-2

* REVISED

2A9

a. Purposes of Files Plan

The Files Plan serves the following purposes:

(1) To insure that official files are placed under the custody of a Files Custodian and located in an appropriate designated file station.

(2) To locate and eliminate unnecessary duplication of files within an organization.

(3) To supply information about the location of official records to office staff.

* b. Preparing the Records Inventory and Disposition Plan

The AID Records Inventory and Disposition Plan (AID Form 520-2), is provided for this purpose. See figures 2-3 and 2-4. Properly completed, the plan provides each file station with a guide tailored to the needs of individual file stations and an index to the files. Each files custodian shall review and revise individual files plans at the end of each fiscal year. *

2B. Files Equipment and Supplies

1. Ordering Equipment and Supplies in AID/W

In AID/W all files related supplies, equipment, and forms should be requisitioned from the Resource Management Division (M/SER/MO/RM). Requests for files equipment are reviewed and approved by the Chief, Records Management Branch M/SER/MO/PA/RM. Prior to approval, the Chief of M/SER/MO/PA/RM assures that the office and bureau are effectively applying Agency records disposal standards and that files equipment is being used for the intended purpose.

2. Ordering Equipment and Supplies Overseas

Files equipment and supplies for overseas offices should be purchased through normal supply channels. Appropriate controls should be applied to assure that records disposal standards are being applied and that non-current records are not being maintained in office space before files equipment is approved.

* REVISED

2B

3. Guidelines for Use of Files Equipment and Supplies

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

a. Use files equipment only for records and other official documents. Do not use it for stocking blank forms, stationery, office supplies, or personal effects.

b. Dispose of non-current records in accordance with records disposal standards in Chapter 6.

c. Allow enough room to hold all the documents expected to accumulate until the next file cut-off. Also, allow enough room for storing classified material overnight.

d. Use letter-sized folders and five-drawer letter-sized filing cabinets whenever possible.

e. Return the oldest pieces of equipment, not needed for current or anticipated use, to stock.

f. Do not personalize filing equipment. Do not assign drawers or cabinets for the exclusive use of any member of the office staff. Instead, group files in a logical sequence for the benefit of all users. Prepare a Files Maintenance and Disposition Plan (see Figs. 2-3 and 2-4) for each files station.

AGENCY FOR INTERNATIONAL DEVELOPMENT

RECORDS INVENTORY AND DISPOSITION PLAN

(INSTRUCTIONS ON REVERSE)

PLEASE TYPE OR PRINT

PAGE 1 OF 1 PAGES

1. ORGANIZATIONAL UNIT NAME	2. FOR RECORDS MAINTAINED
Office of Food for Peace, Asia/Near East Europe Division (FHA/FFP/ANEE)	From: 10 / 01 / 93 To: 09 / 30 / 94

3. FILES PLAN *(Check one)*	4. DATE PREPARED	5. PREPARED BY *(Files Custodian)*	6. PHONE NUMBER
☐ New ☒ Revised	08/08/93	Mary Smith	351-XXXX

7. RECORDS MANAGEMENT HANDBOOK 21, PART II			8. CLASSIFIED	9. MEDIUM	10. VOLUMES *Cubic Meters (Cubic Feet)*		
A ITEM NO. & LOCATION (FILE CABINET/DRAWER)	B TITLE OR DESCRIPTION	C DISPOSAL INSTRUCTIONS	YES OR NO	P - PAPER A - AUDIOVISUAL M - MICROFORM E - ELECTRONIC O - OTHER	A TRANSFERRED TO FRC OR LOCAL STORAGE	B DESTROYED	C ON HAND
	SUBJECT FILES						
01010	Office Administrative Files ADM 1 Management Policy and Plans ADM 3 Meetings and Conferences BUD 1 Annual Budget Submission BUD 3 Congressional Presentation PER 1 Attendance and Leave PER 2 Awards and Incentives PER 10 Evaluations and Performance Plans TRV 7 Travelers Records	Destroy when 2 years old or no longer needed, whichever is sooner.	NO	P	.3 m^3 (10 c.f.)		.03 m^3 (1 c.f.)
	CASE FILES						
04010	FHA Grant Files	Cut off when grant is terminated. Hold in office for 2 yrs., then retire to WNRC. Destroy 6 yrs. after termination of grant.	NO	P		.15 m^3 (5 c.f.)	
04080	Title II Bilateral Agreements Original Agreements	Permanent. Retire upon termination of agreements. Offer to NARA in accumulations of one cubic meter (cubic foot)	NO	P			

11. THIS PLAN REFLECTS ALL RECORDS MAINTAINED BY THIS OFFICE.	*Supervisor's Signature*	*Date*
12. THIS PLAN CONFORMS WITH RECORDS MANAGEMENT STANDARDS.	*Records Liaison Officer's (RLO) Signature (Appointed by Bureau/Office Director)*	*Date*
13. THIS PLAN CONFORMS WITH RECORDS MANAGEMENT STANDARDS AND IS APPROVED.	*Agency's Records Manager's Signature*	*Date*

AID 520-2 (10/92)--Report Control Symbol W-155

(Use Form AID 520-2A for Continuation Pages)

FIGURE 2-3

Instructions for Completion of Form AID 520-2 and Form AID 520-2A

General

Form AID 520-2 is to be prepared on a fiscal year basis by all Files Custodians. Records Officers are to review and forward all plans to the Records Manager no later than September 1 each year. (See Handbook 21, Part II, Records Management Handbook, Chapter 1.) Send plan to: A.I.D. Records Office, Room 1200B, SA-14, Washington, D.C. 20523-1413.

Instructions for the completion of items 1 through 6 are self-explanatory. Specific instructions for items 7 through 13 are as follows:

7. **Records Management Handbook Information:**

   Col. A. Enter the applicable disposal item number from the Handbook (see "Appendixes A, B or C"). If none is found, enter the word "None" and complete SF 115, Request for Records Disposition Authority.

   Col. B. Enter the Handbook disposal item title. If no item is found, enter the title used by record holders and the words "None authorized."

   Col. C. Enter the Handbook disposal instructions. If no item is found, enter the words "None authorized."

8. Classified Material (Yes or No): Classified must not be mixed with Unclassified. (See Handbook 21, Part II, Ch 2)

9. **Medium:** Enter the appropriate letter code as indicated for the medium on which the records are maintained. Audiovisual includes still photos, videos, etc. Electronic media includes data stored in computer memory, on diskettes, or mag tape.

10. **Volumes Cubic Meters (Cubic Feet):** Use the conversion chart below. In Columns A, B, and C, enter the applicable cubic meter and cubic foot measurements for each record item shown on the plan. Round all figures to whole numbers. Specify cubic foot measurement in parenthesis. To convert Cubic Feet into Cubic Meters multiply by 0.03.

Standard Filing Cabinets		Card Files			Map Files	Tabulating Cards	Magnetic Tape	Other Equipment Lextriever, Hanging Files, Etc.
Letter	Legal	3x5	4x6	5x8				
1-1/2	2	1/10	1/6	1/4	1/2	1	1	
Per Drawer		Per 12" Drawer			Per Drawer	Per 10,000	Per 7 Reels	Inside Cubic Measurement

NOTE: Attach copy of Standard Form 135, Records Transmittal and Receipt, for each entry in Column 9A.

11. **Supervisor's Signature:** After signature by office supervisor, original and three copies are to be forwarded to the Records Officer.

12. **Records Liaison Officer's Signature:** After review and signature by the Records Officer, original and two copies are forwarded to the Records Manager.

13. **Records Officer's Approval:** After review and signature by Records Manager, two copies are returned to the Records Officer who retains one and forwards the other to the appropriate office supervisor.

FIGURE 2-4

FILES MAINTENANCE

Chapter 3

CHAPTER 3

FILES MAINTENANCE

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CHAPTER 3

FILES MAINTENANCE

3A. Maintaining Files

1. General

To secure the greatest return on the funds spent for recordkeeping, continuing attention and direction must be given to the day-to-day maintenance of official files.

2. Avoid Needless Filing

Unnecessary filing of materials wastes both staff-hours and equipment and hinders files maintenance and reference. To prevent needless filing the following guidelines are presented:

a. Periodicals, circulars, and similar printed materials received for general information should be retained on a selective basis. Recipients of the material shall determine whether it should 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 may be made and retained.

b. Information copies of letters or forms should not be filed unless future reference to the material is likely. Generally, do not file information copies if the document is available in the originating office.

c. A.I.D. Handbook directives should not be interfiled with actions or transactions except when essential for complete documentation. Directives needed for reference normally should be maintained in binders and bookcases rather than in file cabinets.

d. Copies of routine communications that are not needed for records purposes should be eliminated or avoided by:

(1) returning routing requests for printed matter with the materials sent,

(2) returning routine requests with desired information noted at the bottom,

(3) using routing slips in preference to transmittal letters, and

(4) returning the original request with a form letter used to transmit requested information if possible. 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.

e. Extra copy and comparable nonrecord files are often kept by various elements within the same office or organization. Extra copies are costly because they duplicate the record copy, and they can be misleading since the background data necessary for complete documentation usually is not present. In many instances, extra copy files can be eliminated by an agreement between or within offices concerning use of record files. In this way, files maintained at one file station will supplement rather than partially duplicate the records at another file station.

f. Information copies of communications should be provided only when:

(1) Copies have been requested;

(2) A valid purpose will be served; or

(3) The communication is of such a nature that it would not be included in a circulated reading file.

g. Reference publications should be centralized to the extent practical. The materials can be circulated when received and returned to the central point for maintenance.

3. Recognizing Official File (Record) Material

The following is a list containing some examples of official file material. Take special care not to file official file documents in working file folders.

Type of Document	Official File Copy
a. Incoming Telegrams	Action copies, copies designated as official file copies.
b. Outgoing Telegrams	Originals or copies designated as official file copies.

c. Incoming Letters/Memos	Originals or copies designated as official file copies.
d. Outgoing Letters/Memos	Yellow copies or designated file copies retained by the originating office as official record of action taken.
e. Agreements, contracts or other documents of legal significance	Signed or conformed copies.
f. Fiscal or financial records	Original papers which document acquisition, distribution, utilization or expenditure of funds.
g. Completed forms	Original documents containing information on personnel, property, accounts, procurement, commodities, shipping programs and projects.
h. Originals of reports or publications and their supporting documents	Documents which reflect conclusions of studies, surveys, or investigations.
i. Other	Documents which establish, confirm, implement or recommend Agency or office policies, programs, positions or procedures.

4. Recognizing Non-Record Material

Some papers may appear to be official record documents because they are involved in daily activities. However, they do not document A.I.D. procedures, practices or operations. They are therefore non-record material and should be maintained separately from official files. They

should be destroyed when no longer needed. The following list shows examples of non-record material.

a.	Chron files	Extra copies of telegrams, memos or correspondence, arranged by date or number and used as finding aids for material in official files.
b.	Extra copies	Extra copies of official documents. (Only one copy is maintained in the official files.)
c.	Personal files	Personal copies of travel, personnel actions, etc. which are already documented in official files.
d.	Publications	Advertising, trade journals, catalogs, publications of Government Printing Office, etc.
e.	Reading Files	Extra copies of random current information papers circulated within the office.
f.	Reproduction materials	Mimeograph stencils, hecto or ditto masters, etc.
g.	Routing slips	Used to transmit official material. Detach from document and destroy.
h.	Suspense files	Extra copies of documents which serve as reminders of documents charged out, action due on certain date, etc.

i. Working files	May consist of a collection of notes, drafts, duplicates of papers in official files and action papers used primarily as reference or background material, but not required as supporting evidence of official policy or program operation.
j. Wrappers, labels, envelopes	Used to transmit official envelopes material. Destroy immediately upon receipt or after return address has been recorded.

5. Daily Filing

Papers should be filed daily whenever possible. Because current papers are more frequently requested, prompt filing is necessary to ensure their ready availability.

6. Inspecting Papers to be Filed

The files custodian should inspect all papers received for filing to ensure that:

a. Documentation is complete. When essential documentation is missing, attempts shall be made to obtain the missing papers or copies of them. When missing papers or copies cannot be obtained, a notation that no record is available should be made on the related file papers.

b. Unnecessary material is removed. All pins, paper clips, rubber bands, used envelopes, routing slips (unless they contain additional information), extra copies, and other unnecessary papers should be eliminated before filing.

c. Papers that should be filed at another file station are forwarded to that file station.

d. Actions have been completed, such as papers requiring circulation, follow-up actions, or suspense actions.

e. Damaged papers are protected. Torn pages should be repaired with transparent pressure-sensitive tape.

7. Assembling Papers for the File

To assure sufficiency of documentation, the files custodian must assemble directly related records and check for completeness. For case-filed records this means filing together the incoming letter, a copy of the reply, and any pertinent attachments or enclosures.

For general correspondence subject files, the files custodian (1) removes any earlier correspondence already on file, (2) determines if any segments of the current correspondence are lacking, and (3) assembles the complete papers in reverse date order with the earliest paper at the bottom of the pile.

8. Fastening Assembled Papers

Normally, assembled papers are stapled. If the assembled papers total 30 or more pages, prong fasteners may be used.

9. Sequencing Papers

Before filing papers in folders, arrange them in the same sequence as the actual files arrangement. When filing is done daily, the number of papers involved is usually small and requires only a rough sort into separate stacks for each file group in an office.

10. Filing Papers

A common filing standard is "file the papers loose." General correspondence records in a subject file need not be fastened to the folder. Unless the entire folder is charged out from the file (as a case folder often is) or is circulated throughout an office, fastening the papers to the file is usually unnecessary. This practice more than doubles the time required to place or remove papers in the file.

11. Checking Folder Thickness

While filing new documents, the files custodian should examine the contents of noticeably thick folders to determine whether the contents permit subdivision into separate folders or whether the folder should be cut off and a new one started. Whichever is the case, new or additional folders should be prepared as soon as needed to avoid overloading existing folders and to maintain a neat and orderly appearance to the file.

Whenever the contents of a folder reaches three-fourths of an inch in thickness and is not to be subdivided further, it is time to "break" the file; i.e., begin a new folder. Inclusive dates of contents shall be added to the caption of the original folder, and a new folder with the same caption shall be prepared and placed in front of the original folder. New or additional folders usually are prepared periodically, such as at the beginning of a month or quarter, but may be prepared at any other time, if necessary.

12. Keeping Folder Labels Visible

All folder labels should be easily visible. Oversize papers should be neatly folded or trimmed, and other folder contents "tapped" by gentle shaking, to prevent obscuring of labels. As folders become filled, crease the bottom scoring of folders. This causes papers and folders to rest squarely on the bottom of the file drawer.

13. Leaving Working Space in Drawers

Four inches of working space are needed in a drawer of active records if papers are to remain loose in folders. It takes twice as long to insert papers into folders when drawers are filled to capacity.

14. Indexing and Cross-Referencing

Some papers will concern more than one subject, topic, or case or will be requested by a filing feature different from the one under which it is filed . These papers require files custodians to establish an index or to inter-file a cross-reference. However, uncontrolled indexing and cross-referencing is uneconomical and should be done only when essential to referencing needs. A large number of cross-references usually indicates excessive subdivision of a file. When available, extra copies of papers should be filed with other material to which they relate, rather than preparing a cross-reference. Indexes and cross-references can be minimized by determining from the user of the file the most likely way the user will request papers and then filing them accordingly.

a. Use of Cross-References and Indexes

Indexes and cross-references may be used for:

(1) Correspondence concerning more than one process, transaction, or case;

(2) Correspondence containing the name or names of individuals, organizations, or geographic locations when it is probable that reference requests will be made by the name or names;

(3) Security classified papers having a direct relationship to papers in unclassified files;

(4) Papers on one process, transaction, or case which are not filed together; and

(5) Bulky enclosures filed separately.

b. Cross-Referencing Methods

(1) Extra Copy Cross-Reference

Mark the main file classification in the upper-right corner of the principal copy. Underneath it, write the cross-reference file classification with an "X" in front of it. Mark the same information on the copy in the same way. Circle the first file classification on the principal file copy. Circle the second file classification on the cross-reference copy. See figure 3-1.

CROSS-REFERENCING PAPERS

Original (or principal copy):	AGR 4 X HLS 1
Secondary copy:	AGR 4 X HLS 1

FIGURE 3-1

(2) Optional Form 21 (OF-21), Cross-Reference

Use Optional Form 21 (OF-21), Cross-Reference, when extra copies are not available to file. Also, use the OF-21 when documents to be cross-referenced are too thick or bulky. See figure 3-2.

(3) Optional Form 22, Continuity Reference

(a) Single Documents

When a document is taken out of a closed or cut-off file folder so that it can be actively and continuously used, place it in the current file. Make a record of this action by filling out Optional Form 22 (OF-22), Continuity Reference. See figure 3-3. File this form in the closed file in place of the document taken out.

CROSS-REFERENCE, OPTIONAL FORM 21 (OF 21)

CROSS-REFERENCE (*Name, number, or subject under which this form is filed*)		PRM 5 PRE 2 IND 6
IDENTIFICATION OF RECORD	DATE	September 9, 19XX
	TO	USAID/LIMA
	FROM	AID/W
	BRIEF SUMMARY OF CONTENTS	Memorandum Policy interpretation of commodity assistance techniques and their relationship to marketing and distribution in view of existing transportation facilities.
FILED (*Name, number, or subject under which the document itself is filed*)		TRP 2 Highways

This illustration shows three cross-references to a memorandum classified and filed under subject file group code TRP 2. In this case, the text called for cross-referencing to three other subject files. All three cross-references were made at the same time by putting carbon paper under the first and second sheets and typing in the three cross-reference file group codes in the top-right corner of the form, as shown above. (The shaded areas are changed for the second and third sheets.)

Use this form for double and single cross-references, too.

Do not use this form for documents of only a few pages that can be easily copies.

Optional Form 21
Feb. 1943
GSA Circular 260

CROSS-REFERENCE

FIGURE 3-2

CONTINUITY REFERENCE, OPTIONAL FORM 22 (OF 22)

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
SUBJECT (*Under which this form is filed*)	EDU EDUCATION
DATE (*Under which this form is filed*)	August 4, 1985
TO	AA/ASIA
FROM	ASIA/TECH
BRIEF SUMMARY OF CONTENTS	Report regarding sector analysis of education in Pakistan
BROUGHT FORWARD and filed with the documents described below	
SUBJECT	EDU EDUCATION
DATE	FY 87
TO	
FROM	

The Continuity Reference form serves as a cross-reference from the inactive to the current file. The form shows the original file classification, date, title, and a new file classification of the document, in this case a change in date. If a document is not required for continued current use, it is returned to its original file.

Optional Form 22
Feb. 1962
GSA Circular No. 250

CONTINUITY REFERENCE

FIGURE 3-3

(b) Complete Folder

When an entire folder is transferred from an inactive file to a current file, replace it with an empty folder. Copy the entire label information on to the empty folder and write the words "Carried forward to (appropriate date)." Staple the empty folder closed so that nothing can be filed inside it. On the label of the folder being transferred, write the words "Brought forward to (appropriate date)."

(4) File Folder Cross-Reference

Use cross-reference labels on file folders when two files are frequently used together. Place the cross-reference label on the outside of the file folder so that when the folder is closed, it will appear immediately below the file folder label. See figure 3-4.

CROSS-REFERENCING FILE FOLDERS

File Folder Label:

AGR 4 CROP PRODUCTION
FY XX

Cross-Reference Label:

See Also: HLS 6 NUTRITION
(Low Cost Nutritious Foods)
FY XX

FIGURE 3-4

15. Cutting Off Files

Files are cut off periodically to aid their disposition and to separate active from inactive files. Files may be cut off monthly, quarterly, semiannually, annually, or on the occurrence of an event. All subject correspondence files and the majority of other records are cut off at the end of the fiscal year. Certain records are disposed of immediately after cutoff, but most are placed in an inactive file to

await final disposition at a future date. Case files that have been completed or otherwise have become inactive should be immediately separated from active case files and placed in a closed or inactive file. The inactive case file is then cut off at the end of the fiscal year.

16. Charging Out Files

a. Procedures

When documents or file folders are removed from the file, it is essential that a chargeout card be inserted in its place. Chargeout cards should be stored in the front of every file drawer so they are readily available. Be sure a chargeout form is used even if the file is to be borrowed for "only a few minutes." Sometimes a few minutes grow into days!

b. Methods

(1) Chargeout Record, Optional Form 23 (OF-23)

(a) The chargeout record is a re-usable buff-colored card. See figure 3-5. Use it to charge out material that will be used in the immediate area of the files station. Fill out all the columns on the form by hand. Place the form in the exact location from which the document(s) or folder was taken, so that the word "OUT" appears above all the other folders in the drawer.

(b) Remove the form when the material is returned to the files. Cross out the chargeout information so the form can be re-used. Keep unused forms in front of each file drawer so they are always handy.

(2) Charge and Follow-up of Files, AID Form 5-68

(a) This is a four-part form. See figure 3-6. Use it to charge out material that will leave the immediate area of the files station. Fill out the form by hand or on a typewriter. The use of the second and third copies (the third and fourth plys) is optional. The recommended use is:

(i) Original. Fasten the original to the top of the document charged out (or to the outside of the folder). This acts as a reminder to the borrower to return it to the files station.

CHARGEOUT RECORD, OPTIONAL FORM 23 (OF 23)

OUT

IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)	CHARGED TO (PERSON & OFFICE)	DATE CHARGED OUT
~~ADM 7 Inspection Review~~	~~G. Barrett IRM X51816~~	~~5/6/XX~~
BUD Thompson / Green Memo	Adams FM/ISD X51124	7/30/XX

OPTIONAL FORM 23
FEB 1962
GSA Circular No. 259

CHARGEOUT RECORD
5023-101

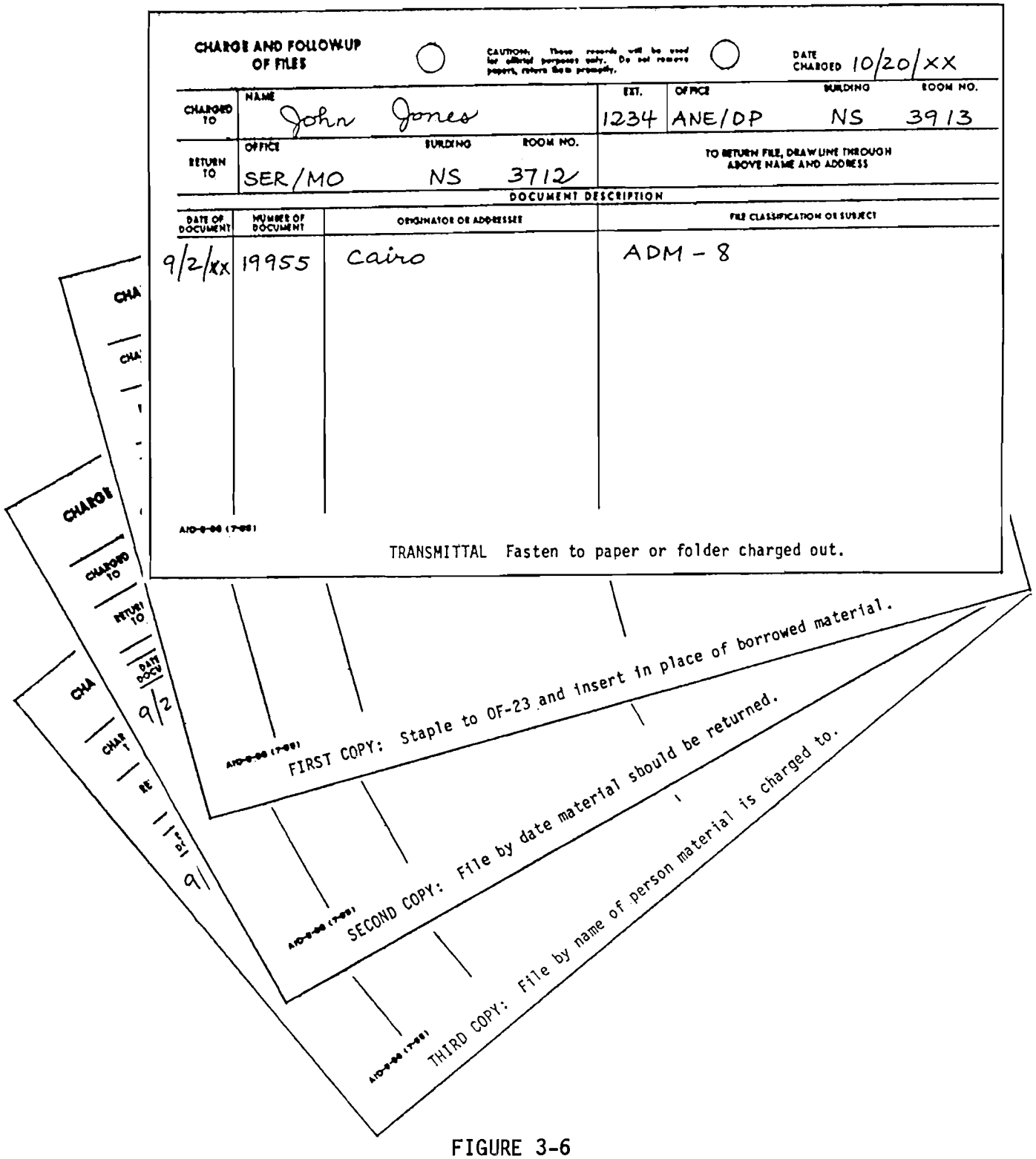
GPO 643-16-80979-1 356-299

DATE CHARGED OUT	CHARGED TO (PERSON & OFFICE)	IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)

OUT

FIGURE 3-5

CHARGE AND FOLLOW-UP OF FILES, AID FORM 5-68



CHARGE AND FOLLOW-UP OF FILES

CAUTION: These records will be used for official purposes only. Do not remove papers, return them promptly.

DATE CHARGED 10/20/XX

CHARGED TO	NAME	EXT.	OFFICE	BUILDING	ROOM NO.
	John Jones	1234	ANE/DP	NS	3913

RETURN TO	OFFICE	BUILDING	ROOM NO.	
	SER/MO	NS	3712	TO RETURN FILE, DRAW LINE THROUGH ABOVE NAME AND ADDRESS

DOCUMENT DESCRIPTION

DATE OF DOCUMENT	NUMBER OF DOCUMENT	ORIGINATOR OR ADDRESSEE	FILE CLASSIFICATION OR SUBJECT
9/2/xx	19955	Cairo	ADM - 8

AID-5-68 (7-68)

TRANSMITTAL Fasten to paper or folder charged out.

FIRST COPY: Staple to OF-23 and insert in place of borrowed material.

SECOND COPY: File by date material should be returned.

THIRD COPY: File by name of person material is charged to.

FIGURE 3-6

(ii) First Copy. Staple this copy to the OF-23 and place them both in the folder or file drawer in place of the withdrawn material.

(iii) Second Copy. File this copy in a 5" x 8" card file box, or a file folder, arranged by the date the material was charged out, with the latest date in front. Material is usually expected to be returned within 10 working days. If the material is not returned in that time, take follow-up action. If the material is needed by the borrower for a longer period of time, make a note of this on the form. Always follow-up if the file is not returned on time.

(iv) Third Copy. File the last copy by the last name of the borrower. Use this file to clear individuals separating or rotating to other assignments.

(b) Destroy all four copies when the material is returned to the files.

(3) Backing Sheet, AID Form 5-103

If only one or a few papers are removed from the file, attach the paper(s) to A.I.D. Form 5-103, Backing Sheet for Charged-Out Files. See figure 3-7. When documents are returned, remove them from the backing sheet and file them in the appropriate file folder(s). Be sure they are filed chronologically and not just in front of the folder.

(4) Temporary Folder

If an entire folder is withdrawn, insert an unlabeled folder in its place to hold the chargeout card (OF-23) and any papers that accumulate. When the charged out folder is returned, remove the temporary folder, file accumulated papers, and cross out the chargeout information on the card. Replace the folder in its proper place and return the chargeout card to the front of the drawer for re-use.

AID FORM 5-103 BACKING WITH AID FORM 5-68 AND CHARGED-OUT PAPER ATTACHED

FORM 5-68

CHARGE AND FOLLOW-UP OF FILES

CAUTION: These records will be used for official purposes only. Do not remove papers, return them promptly.

DATE CHARGED

CHARGED TO	NAME	EXT.	OFFICE	BLDG	RM.
RETURN TO	OFFICE	BLDG	RM.	TO RETURN FILE, DRAW LINE THROUGH ABOVE NAME AND ADDRESS	

DOCUMENT DESCRIPTION

DATE OF DOCUMENT	NUMBER OF DOCUMENT	ORIGINATOR OR ADDRESSEE	FILE CLASSIFICATION OR SUBJECT

AID 5-68 (7-55)

PAPER (OR FOLDER) CHARGED OUT

The Agency has a responsibility to provide a safe and helpful workplace. A.I.D. also shares the Surgeon General's stated objective of achieving a smoke-free environment by the end of this century. This commitment is based upon medical evidence which documents the harmful effects of smoking to non-smokers as well as smokers. For these reasons, it is the Agency's intention to control smoking in all space occupied by A.I.D. personnel. Consistent with these public health objectives, supervisors may authorize a reasonable period of administrative leave so that employees who smoke can attend a smoking cessation program during a short series of extended lunch hours.

III. Application

1. These rules apply to all AID/W bureaus and offices without exception.

2. Overseas, missions will adopt a parallel rule, based upon A.I.D.'s domestic policy, to the extent local custom and office sharing arrangements with other agencies permit.

IV. Policy

Smoking is prohibited in all space controlled by the Agency in

FORM 5-103 BACKING SHEET

OFFICIAL FILE OF THE AGENCY FOR INTERNATIONAL DEVELOPMENT

DO NOT REMOVE PAPERS

FIGURE 3-7

SUBJECT FILES

Chapter 4

CHAPTER 4

SUBJECT FILES

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APPENDIX

4A Subject Outlines
4B Index to Subject Outlines

CHAPTER 4

SUBJECT FILES

4A. General

Subject files consist of general file materials of incoming originals and outgoing record (yellow) copies of letters, memoranda, telegrams, reports and materials involving a wide variety of subjects. They bring together documents relating to the same subject so that information can be easily found. The subject categories chosen as filing guides for A.I.D. reflect the organization, policies, programs, and functions of the Agency. A.I.D. subject files are arranged according to the Subject Outlines shown in Chapter 4, Appendix 4A.

1. Subject Files Outlines

Each subject outline has an alpha-numeric file group code, which provides primary and secondary breakdowns for subject file materials. These codes are subdivided into secondary breakdowns for more precise identification of subject content. Individual offices may subdivide subject categories further into tertiary or third levels of breakdown. Additions of new subject headings to the Subject Outlines may be authorized by the Agency Records Management Officer. Send requests for changes in subject categories to the Records Management Officer.

2. Index to Subject Files

In addition to the Subject Outlines shown in Appendix 4A, this handbook contains an alphabetical Index to Subject Outlines (Appendix 4B). The first column of the Index ("Subject" column) lists in alphabetic order each of the topics contained in the subject outline, along with synonyms and other terms under which information might be sought. The second column opposite these terms lists for each subject entry the file code symbol under which papers on that subject will be filed.

4B. Setting Up Subject Files

1. File Group Codes

Primary subject categories have 3-letter file codes and are subdivided into secondary breakdowns. For example, the general topic

"Agriculture" (one of the basic subjects) has a file group code of "AGR." "Crop Production," a subdivision of "Agriculture," is identified by the file group code "AGR 4." See figure 4-1. The Subject Outlines cover subdivisions to the secondary level only. Individual offices may create tertiary level divisions. An example of a tertiary level file group code is HLS 7-1 in figure 4-3.

FILING CODES

Example	Filing Code
General Subject of Agriculture	AGR
Specific documents on Crop Production	AGR 4

FIGURE 4-1

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

2. Folders

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

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

3. Labels

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

b. Type the file group code and title on the label directly below the colored band. Type them exactly as shown in the Subject Outlines in Appendix A. Subject files are cut off and started anew each fiscal year. Type the fiscal year in the lower right corner. See figure 4-2.

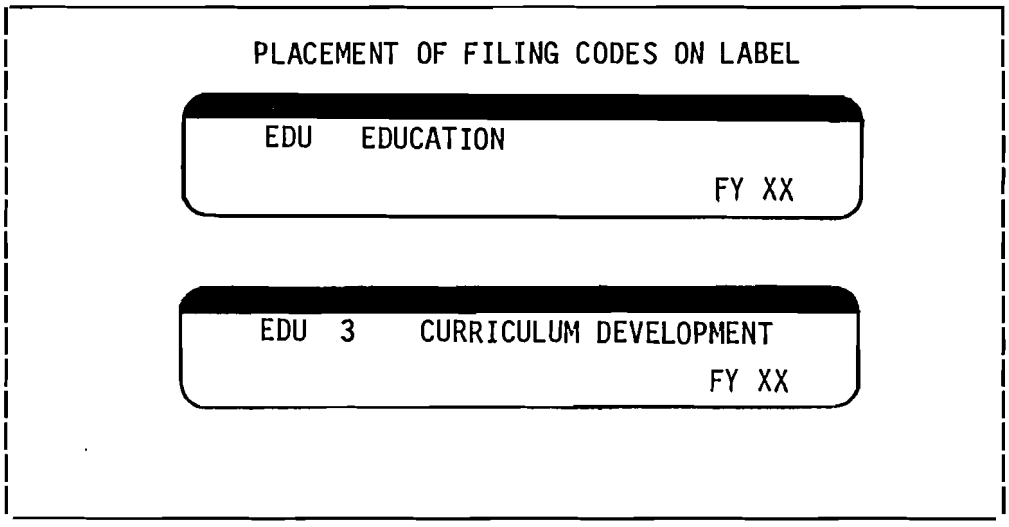

FIGURE 4-2

4. Positions of Labels on Folders

The A.I.D. filing system provides for standard placement of labels on folders. The primary label is placed in the left position, secondary label in the center position and tertiary label in the right position. See figure 4-3.

5. Subject Expansion Files

a. Subject expansion files consist of all subject breakdowns given by an A.I.D. office beyond the categorizations taken from the Subject Outlines in Appendix 4A. These can include further subject breakdowns, such as the example "Winter Wheat" in figure 4-4. Expansion files may also include files broken down by country or numerical scheme, as well as by activities, organizations or events, such as "Farm Fair, Brazil" in figure 4-4. The Description of Records in the Subject Outlines may be used to provide guidelines for expanding classification.

POSITIONS OF LABELS ON FOLDERS

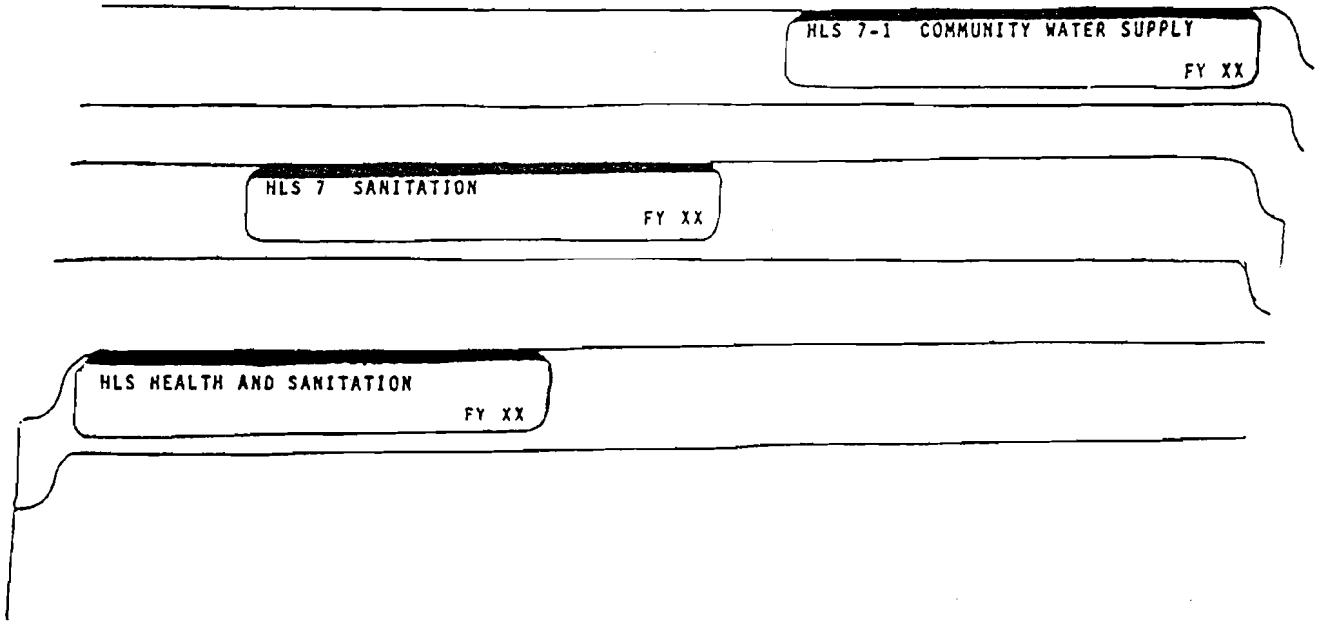

FIGURE 4-3

b. The basic requirements for subject expansion filing (figure 4-4) are:

(1) Show the file group code and title of the subject breakdown, on the top line of the file labels.

(2) Show the expanded heading, such as number, country, subject breakdown, or event, in parentheses on the second line. The expanded heading identifies a further subdivision of the main subject breakdown.

SUBJECT EXPANSION FILE HEADINGS

AGR AGRICULTURE
(Farm Fair, Brazil--Oct. 19XX)

AGR 4 CROP PRODUCTION
(Winter Wheat)
FY XX

FIGURE 4-4

6. Cutting-Off Subject Files

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

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

4C. Classifying Documents to Be Placed in Subject Files

1. Marking

Mark papers for subject files in the upper right corner with the appropriate file codes from your office files plan. See figure 4-5. Chapter 2 provides guidance for the preparation of the files plan. When marking a category that has not yet been included in the files plan, consult the Subject Outlines in Appendix 4A.

2. Sorting

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

3. Assembling

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

MARKING SUBJECT FILE
CLASSIFICATION ON A PAPER

TRG

UNCLASSIFIED
Department of State

INCOMING
TELEGRAM

PAGE 01 BAMAKO 04795 201337Z 0079 015971 AID5292
ACTION AID-00

ACTION OFFICE PM-07
INFO AAAF-03 AFFW-04 AMAD-01 RELO-01 AFMG-03 /019 A0

INFO LOG-00 /000 W
----------021430 201505Z /38

R 201319Z AUG 87
FM AMEMBASSY BAMAKO
TO SECSTATE WASHDC 0847

UNCLAS BAMAKO 04795

ADM AID

FOR M/PM/TD/AST

E.O. 12356: N/A

SUBJECT: TRAINING

USAID MALI WOULD BE INTERESTED IN HOSTING A REGIONAL COMMUNICATIONS AND RECORDS WORKSHOP DURING THIRD OR FOURTH QUARTER FY 1988.
RYAN

UNCLASSIFIED

FIGURE 4-5

APPENDIX 4A

SUBJECT OUTLINES

INTRODUCTION

SUBJECT OUTLINES

The Subject Outlines provide the information needed to organize and correctly label official subject files. Even though subject files comprise roughly only twenty percent of all Agency files (see chapters 2 & 4 of this handbook), a knowledge of the Subject Outlines is indispensable in establishing and maintaining these files.

The Subject Outlines are made up of subject file codes (e.g. EDU 12, PRC 4, ADM 8) with file classification captions such as Health Education, Administrative Management, etc., followed by a narrative description for each code and classification. Together, these comprise a system that provides offices with a smooth and efficient means of filing and retrieving information.

How then are the Subject Outlines used to select the proper subject codes and classifications? To illustrate, suppose the record to be filed is the minutes of a U.S.A.I.D. meeting on weed control. The user peruses the Table of Contents to the Subject Outlines and selects the major subject area most likely to contain the topic, in this case Agriculture. Reading through the narrative descriptions leads to the file code and classification that encompasses weed control--AGR 4 Crop Production.

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

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

An alternate means of finding the subject file code is to use the Index to the Subject Outlines. In the example on weeds, looking under "Weed Control" would have led directly to AGR 4. Even looking under the entry "Meetings" would have led eventually to AGR 4, since the entry advises to look under the appropriate subject.

As mentioned in the introduction to this handbook, the Subject Outlines are no longer tied to retention periods for the categories used, as they were in the previous edition of Handbook 21. Instead, retention periods are addressed separately in the Records Disposition Schedule (Appendix 6A-6C).

Another feature that is new to this edition is the streamlined coding scheme, allowing individual offices more freedom in developing codes that suit their particular needs. Previously, categories were broken down to a third level, with subject codes such as HLS 9-7 and FPC 2-1 representing subdivisions in the larger categories. That function has now been relegated to individual offices. For example, an office dealing with energy programs could subdivide the category SCT 21 Energy into SCT 21-1 for Geothermal Energy, SCT 21-2 for Solar Energy and so on, arbitrarily, to best reflect the energy subjects of interest to that particular office.

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

The new Subject Outlines and Index should constitute a tool that is easy to use, and be a welcome aid in establishing and maintaining office subject files.

TABLE OF CONTENTS

SUBJECT OUTLINES

Administrative Management	ADM
Agriculture	AGR
Budget	BUD
Economic and Financial Affairs	ECF
Education	EDU
Fiscal Accounting and Audit	FIS
Food for Peace	FPC
General Services	GRS
Health and Sanitation	HLS
Industrial Development	IND
Information and Mass Communications	INF
Legislative and Legal	LEG
Loans, Guaranties, and Private Enterprise	LGP
Organizations, Committees and Meetings	OCM
Personnel	PER
Procurement and Contracting	PRC
Program Development, Evaluation and Research	PRM
Public Administration	PUB
Science and Technology	SCT

TABLE OF CONTENTS

SUBJECT OUTLINES

Social and Institutional Development	SOC
Training	TRG
Transportation	TRP
Travel	TRV

SUBJECT OUTLINES

ADMINISTRATIVE MANAGEMENT

Instructions

Use for material on the organization, functions, management, and emergency planning of the Agency; administration coordination and relations with other Federal agencies and with cooperative service organizations of host governments.

Includes paperwork, automation, and other management systems and programs.

Material concerning specific administrative areas and where pertinent, program areas, should be filed under appropriate subject classification, such as BUDGET, FISCAL ACCOUNTING, PERSONNEL, etc.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
ADM	ADMINISTRATIVE MANAGEMENT	Material documenting Agency management techniques, concepts, and proposals, which is too comprehensive to be filed under one of the secondary breakdowns in this classification category.
ADM 1	GENERAL POLICY AND PLANS	Overall policy and plans for the administrative management of the Agency. Some subjects which may be filed here include: - management improvement programs - cost reduction programs - management systems plans - feasibility and workload studies
ADM 2	GENERAL REPORTS AND STATISTICS	Reports and statistics which are too general to file under a more specific subject. Includes periodic administrative reports, reports submitted by A.I.D. to Office of Management and Budget, and related feeder reports, analyses, and data. Subdivide by reporting unit, project control number, or title of report, if volume warrants.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
ADM 3	MEETINGS AND CONFERENCES	Material regarding meetings and conferences which cannot be filed under a more specific subject. Subdivide by name, date, and location of meeting or conference, if volume warrants.
ADM 4	AUTOMATION	General correspondence, reports studies, planning, and training material regarding automation and its use in the agency; includes information systems, systems policy and procedure, systems training, and word processing.
ADM 5	(Reserved)	
ADM 6	ORGANIZATION AND FUNCTIONS	History and background of the Agency and its offices, organizational charts, reorganization plans, and functional assignments. Includes opening and closing of offices and the coordination of functions within and between agencies. Subdivide by name of office, U.S.A.I.D., or agency if volume warrants.
ADM 7	INSPECTIONS	Documentation which reflects policy, objectives, and guidelines for general administrative inspections, audits, and operational surveys. Includes field trips of personnel for briefing purposes. File inspections of specific functions under appropriate subject.
ADM 8	PAPERWORK MANAGEMENT	Papers documenting general plans and programs to reduce paperwork management systems and standards on creation, maintenance, use, and disposition of records; and the concept, design, and implementation of information management and retrieval systems. File material pertaining to a specific paperwork function under the appropriate subject heading. Files may consist of the following: Policy and planning papers regarding development, review, and approval of any series of A.I.D. directives. Standards to simplify and speed the handling of mail and telegrams, Agency and Non-Agency. (Cont'd)

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
ADM 8	PAPERWORK MANAGEMENT (Cont'd)	Correspondence and report files on communications administration and operations. Standards and systems for organizing, maintaining, and disposing of files. Feasibility studies to examine prospects for automation or data processing.
ADM 9	DOCUMENT AND INFORMATION SECURITY	Systems and procedures for protecting and controlling documents and information. Includes manuals, directives, plans, and reports reflecting policies and procedures developed in the administration and direction of the security program.
ADM 10	EMERGENCY PLANNING	Correspondence regarding administration and operation of the Agency's emergency planning program. Papers documenting A.I.D. policy and planning, and coordination with other agencies in the emergency planning program. Subdivide specific emergency planning programs if volume warrants.

AGRICULTURE

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
AGR	AGRICULTURE	Data regarding agricultural technical aid aspects of the Foreign Aid program, including program purpose and concept, decisions or conditions affecting the course of its conduct, and planning, development, and implementation of agricultural programs and use of natural resources in cooperating countries.
AGR 1	AGRICULTURAL COLLEGES AND UNIVERSITIES	Correspondence, reports, evaluative and planning material regarding agricultural colleges and universities in cooperating countries and their relations to A.I.D. program support and implementation. Includes experimental and research activities undertaken in connection with these institutions.
AGR 2	AGRICULTURAL ECONOMICS	Correspondence, reports, and evaluative and planning material regarding agricultural economics, farm management, marketing, distribution and warehousing of unprocessed agricultural products.
AGR 3	COOPERATIVES AND CREDIT	Correspondence, reports, and evaluative material regarding agricultural cooperatives and credit.
AGR 4	CROP PRODUCTION	Correspondence, reports, and evaluative and planning material regarding crop and grain production; seed improvement; improvement of planting stock; agricultural use of radioactive material; narcotics; and weeds, diseases, and pests, affecting crop production.
AGR 5	EXTENSION	Correspondence, reports, and evaluative and planning material regarding development of the agricultural extension programs; experiment stations; development of home economics, agricultural workshop, agricultural youth club programs; farm buildings; farm mechanization.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
AGR 6	FARMS	Correspondence, reports, and evaluative material regarding farms, farm buildings, and farm mechanization.
AGR 7	FISHERIES	Correspondence, reports, and evaluative and planning material regarding fisheries, and aquaculture.
AGR 8	FORESTRY	Correspondence, reports, and evaluative and planning material regarding reforestation, deforestation, desertification, land capability, watershed protection and woodlots.
AGR 9	LAND	Correspondence, reports, and evaluative and planning material regarding land used for agricultural purposes; land distribution, including settlement, tenure, and reform programs; flood control; irrigation, drainage, and reclamation; range management and related water development activities; soil conservation including soil surveys, analyses, and fertilization.
AGR 10	LIVESTOCK AND POULTRY	Correspondence, reports, and evaluative and planning material regarding livestock and poultry improvement.
AGR 11	RESEARCH	Agricultural research activities not classifiable under another subdivision of this outline.
AGR 12	FOOD SUPPLY	Correspondence, reports, and evaluative and planning material regarding national and world food reserves, problems, shortages, and requirements.

BUDGET

Instructions

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

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
BUD	BUDGET	Documentation of A.I.D. policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for Agency Programs.
BUD 1	ANNUAL BUDGET SUBMISSION	Annual budget submission by each overseas post and each A.I.D./W organization entity. Includes instructions, assumptions, and guidelines for preparation, the budget request itself, supporting papers, and related communications.
BUD 2	OFFICE OF MANAGEMENT AND BUDGET (OMB) REQUEST	Consolidated Agency submission to OMB. Includes supplementary schedules, exhibits, and special data for OMB review.
BUD 3	CONGRESSIONAL PRESENTATION	Documents the preparation of the detailed Agency budget request and its presentation to Congress, including supplementary schedules, exhibits, daily transcripts of hearings before Congressional committees, copies and analyses of proposed appropriation bills and amendments thereto, position papers on proposed legislation and appropriation acts, and requests for supplemental appropriations.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
BUD 4	TENTATIVE PROGRAM LEVEL	Correspondence between A.I.D./W and overseas posts, and related data, supporting tentative program level.
BUD 5	OPERATIONAL YEAR FUNDING PLAN	Operating Year Budget (OYB) and Annual Administrative Funding Plan; and review and revision of these documents. Case file by country, region, or A.I.D./W organizational unit and/or by month or quarter if volume warrants. Includes documentation of distribution by the Office of Management and Budget of Agency appropriation and other funds available under legislative authorities. Requests for and establishment of allotments to regional bureaus, headquarters, offices, and overseas posts for each activity; Statement of Funds Available for Obligation, furnished A.I.D. offices as planning device for controlling expenditures; Requests for, establishment of, and control of numerical authorization of staffing levels. Includes employment limitations.

ECONOMIC AND FINANCIAL AFFAIRS

Instructions

This category covers basic economic and financial data and its analysis, and groups material on which the long-range assistance requirements of cooperating countries and regions are estimated and Agency assistance programs developed.

EXCEPT: Material which properly furnishes background information in recognized areas of Agency technical assistance programs (i.e., sector analysis), which is filed in the appropriate functional primary category. See AGR, EDU, HLS, IND, PUB, SOC, and TRP.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
ECF	ECONOMIC AND FINANCIAL AFFAIRS	Material regarding plans, proposals, and stated purposes of the collection and analysis of data on economic factors in aid-recipient countries.
ECF 1	BANKING AND CREDIT	General correspondence, statistical and other data and its analysis, regarding central, state and other government banking operations. Includes credit portfolios, loans, deposits, discounts and rediscounts, currency issuance, circulation, and commercial banking and credit operations in cooperating countries. Also statements of legal reserve requirements, reserve reports, time and sight deposits, and discounts on commercial and other paper.
ECF 2	COOPERATING COUNTRY BUDGETS	Material regarding cooperating country central government case flow statements, revenues and expenditures, debt accumulation, and short-term supplier credits. Material regarding cooperating country central government budgets, and individual ministerial (departmental) budgets. Case file and arrange alphabetically by name of ministry or department. Includes material on debt accumulation and burden.
ECF 3	ECONOMIC ANALYSIS	Documentation regarding review, assessment and/or summary of overall economic situation. Includes retail and wholesale price indicators, budget and import data, foreign exchange tax results, cost of living index, trends in construction activity, reports of gross national product, consumption and production analyses, population, and other economic indications.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
ECF 4	INTERNATIONAL TRADE	Statistics and reports summarizing foreign trade of cooperating countries. Includes trade agreements. Reports of capital movements, military offset programs, balance of payments reports, reports of trade with other countries, relations with various common market groups, import quotas, blocked currencies, barter and bilateral trade, restrictions on trade, reports of foreign exchange reserves, free and restricted currency holdings, contraband activities and smuggling rings, and their effects on local economy.

EDUCATION

Instructions

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

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
EDU	EDUCATION	Correspondence, reports, and evaluative and planning material regarding educational technical aid aspects of the Foreign Aid Program, including program purpose and concept, and decisions or conditions affecting the course of its conduct; and planning and development of educational programs in cooperating countries.
EDU 1	ADULT	Correspondence, reports, and evaluative and planning material regarding literacy tests, eligibility criteria for assistance to schools and elements of school budgets.
EDU 2	EDUCATION INSTITUTES	Case file documentation of U.S. support of individual American-sponsored schools.
EDU 3	CURRICULUM DEVELOPMENT	Correspondence, reports, and evaluative and planning material regarding curriculum development and samples of teaching materials designed for schools at various levels.
EDU 4	ELEMENTARY	Correspondence, reports, and evaluative and planning material regarding planning, development, and conduct of elementary education programs.
EDU 5	FELLOWSHIPS	Correspondence, reports, and evaluative and planning material regarding the availability of fellowships and scholarships in schools in cooperating countries.
EDU 6	HIGHER EDUCATION	Correspondence, reports, and evaluative and planning material regarding development and conduct of programs at college and university level.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
EDU 7	LIBRARY OPERATION	Correspondence, reports, and evaluative and planning material regarding library operation in cooperating countries.
EDU 8	PROFESSIONAL EDUCATION	Correspondence, reports, and evaluative and planning material regarding development and conduct of educational programs at the professional level. Case file by type of profession if volume warrants.
EDU 9	SCHOOL FACILITIES	Correspondence, reports, and evaluative and planning material regarding existing schools, need for additional school facilities, school administration, and school construction in cooperating countries.
EDU 10	SECONDARY	Correspondence, reports, and evaluative and planning material regarding development and conduct of programs to improve secondary education in cooperating countries.
EDU 11	TEACHING METHODS AND MEDIA	Correspondence, reports, and evaluative and planning material regarding teaching methods and media not included in project files. Includes audiovisual aids, radio and television, lecture material, textbooks, and other teaching media.
EDU 12	VOCATIONAL TRAINING	Correspondence, reports, and evaluative and planning material regarding development and conduct of programs to improve vocational education in cooperating countries.
EDU 13	ENGLISH LANGUAGE	Correspondence, reports, and evaluative and planning material regarding development and conduct of programs for teaching English as a second language.

FISCAL ACCOUNTING & AUDIT

Instructions

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

A file station which needs to distinguish records of foreign currency transactions from transactions in dollars may case file within any secondary or tertiary subdivision of this category, adding "(FC)" to the established code.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
FIS	FISCAL, ACCOUNTING AND AUDIT	Correspondence or subject files maintained by operating units responsible for accounting, pertaining to their internal operations and administration.
FIS 1	ACCRUAL ACCOUNTING	Accounting manuals, procedures, and related communications.
		Material regarding accounting activities, reflecting discussion, adjustment, or particulars of specific accounts or accounting systems.
		Material regarding administrative, project and nonproject expenses, representing supporting documentation for accrued liability reporting requirements.
FIS 2	APPROPRIATION-ALLOTMENT ACCOUNTING	Allotment records, showing status of obligations and allotments under each authorized appropriation.
		Periodic reports on the status of appropriation accounts and apportionments, Advice of Charge Files, papers documenting administrative reservations.
		Liquidated obligations files, consisting of travel and transportation requests, requests for purchase, purchase orders, and other administrative obligations, and Register of Obligations. (Cont'd)

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
FIS 2	APPROPRIATION-ALLOTMENT ACCOUNTING (Cont'd)	Obligation copies of program documents such as procurement authorizations, foreign currency authorizations, transfer authorizations, procurement authorizations/requisitions, project implementation orders, technical assistance authorizations, amendments, and related correspondence. Administrative correspondence, reports, and other data regarding voucher preparation and management and related accounting and disbursing operations: Maintain individual disbursement vouchers as a separate case file group by Bureau voucher or schedule number.
FIS 3	AUDIT AND INSPECTION	Planning papers and communications which document policies and procedures under which the Agency's audit program is operated. Procedures for conduct of end-use checks on commodities financed under Agency programs. Documentation for individual audits should be case filed.
FIS 4	BANK FINANCING	Material regarding letter of commitment financing of Agency commodity transactions, technical service contracts and loans. Specific loans or grants are case filed.
FIS 5	BILLING AND COLLECTION	Documentation regarding billing and collection, and the availability, collection, custody, and deposit of funds.
FIS 6	BONDING OF EMPLOYEES	Federal personnel surety bond files.
FIS 7	CLAIMS	Correspondence and memoranda expressing policy or guidance in handling of claims. Case file individual claims.
FIS 8	CODES	Notices and communications establishing allotment and appropriation symbols, and object classification codes.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
FIS 9	COST ACCOUNTING	Copies of cost accounting reports and related supporting papers. Ledgers, forms, and machine records used to accumulate data for use in cost reports.
FIS 10	DISBURSING	Correspondence between A.I.D./W and overseas offices, giving guidance and explanation on disbursement matters.
FIS 11	GENERAL LEDGER ACCOUNTING	Records used as posting and control media, subsidiary to the general and allotment ledgers, and not otherwise provided for in this schedule.
FIS 12	PAYROLL PROCEDURES	General correspondence files pertaining to routine matters of administration and operation, preparations and processing of payrolls.
		Case file payroll actions and arrange alphabetically, as best suits users' needs
FIS 13	REPORTS	General documentation of the policies and procedures governing the Agency's financial reporting program.
		Case file by individual reports.
FIS 14	SPECIAL PROGRAMS ACCOUNTING	Documentation of Agency policy governing accounting procedures for the special programs administered. Programs in this file include: Cash grants, counterpart funds, investment guaranties, loans and trust funds. Case file as necessary.

FOOD FOR PEACE

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
FPC	FOOD FOR PEACE	Records documenting the development of Standards, policies; procedures and the coordination of special programs under Title I, II, III, and IV of P.L. 480; and program coordination with other agencies.
FPC 1	COMMODITIES	Selection criteria for designation of types and quantities of surplus agricultural commodities available for sale, grant, or donation under P.L. 480. Subdivide by name of commodity, if volume warrants.
FPC 2	FAMINE RELIEF AND OTHER ASSISTANCE	General correspondence relating to grants of surplus food under Title II, Famine Relief, and other assistance, direct to host government, and including such topics as grants in connection with urgent or extraordinary needs (e.g., natural disasters such as floods, earthquakes) and emergency programs and grant assistance to needy peoples in underdeveloped countries which includes refugee and child feeding, school lunch programs, and payment-in-kind in connection with development projects. Case file by program when volume warrants.
FPC 3	FOREIGN CURRENCY SALES	Policy and procedural materials governing the sale of surplus agricultral commodities for foreign currencies, under Title I. Case file each sales agreement.
FPC 4	INTERAGENCY STAFF COMMITTEE ON P.L. 480	Materials documenting the purpose, organization, and objectives of the Interagency Staff Committee on P.L. 480.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
FPC 5	LONG TERM SUPPLY CONTRACTS	Policy and procedural materials governing sales of surplus agricultural commodities for long term dollar credits or for convertible foreign currencies under Title IV. Case file each long term supply contract.
FPC 6	VOLUNTARY AGENCY PROGRAM	Records regarding donations of agricultural commodities under Title III to needy peoples for school lunch programs, refugee and child feeding, and for urgent or extraordinary relief needs, conducted by nonprofit voluntary agencies. Food for Peace program related material concerning Advisory Committee on Foreign Aid.
FPC 7	BARTER AND EXCHANGE	Papers on the barter or exchange of agricultural commodities for strategic material and other goods and equipment needed by the United States. Case file by name of strategic material or equipment, if volume warrants.

GENERAL SERVICES

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
GRS	GENERAL SERVICES	Material documenting the framework of design concept and operating functions of the division responsible for space and property management.
GRS 1	BUILDING SERVICES	General correspondence relating to the provision of basic services for government-owned or leased buildings. Includes policy and procedures for obtaining maintenance, telephone, security and cleaning services. Case file by individual service area as needed.
GRS 2	EQUIPMENT AND SUPPLIES	General documentation regarding administration of and accountability for supplies and equipment, including loss, theft, and destruction and disposal by condemnation, sale or transfer. Case file sale of surplus property.
GRS 3	LIBRARY SERVICE	General correspondence regarding operation of A.I.D. owned libraries.
GRS 4	MOTOR POOL OPERATION	General correspondence documenting policy and procedure for acquisition, use maintenance and disposition of government-owned vehicles. Case files for individual vehicles should be used as necessary.
GRS 5	REPRODUCTION AND DISTRIBUTION SERVICES	Files of printing and distribution unit regarding administration and operation of the office.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
GRS 6	SPACE	Material regarding space standards and arrangements; allocation, utilization, occupancy, and release of space; building plans and related records; agency ownership, custody, or rental of office space, and maintenance and repair of both individual office residential units. Maintain case files for each individual building or residence owned or leased.

HEALTH AND SANITATION

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
HLS	HEALTH AND SANITATION	Correspondence, reports, and evaluation and planning material regarding health and sanitation technical aid aspects of the foreign aid program, correspondence, reports, and planning material relating to multilateral funding of Health and Sanitation programs and projects in host countries, including program purposes and concept and decision or conditions affecting the course of its conduct.
HLS 1	DEVELOPMENT OF HEALTH PERSONNEL	Correspondence, reports, and evaluation and planning material regarding health and sanitation training of nationals of cooperating countries; administration and operation of medical, nursing, and health schools in cooperating countries. Case file by name of school as needed.
HLS 2	DISEASES	Correspondence, reports, and evaluative and planning material regarding the detection, spread, and treatment of diseases and chronic health conditions in cooperating countries. Includes emergency medical activities; medical uses of atomic energy and drugs; and research into diagnosis, control, treatment, and eradication of diseases, including drug addiction.
HLS 3	HEALTH EDUCATION	Correspondence, reports, and evaluative and planning material regarding activities for promotion of modern sanitation and disease prevention and control practices among populations of cooperating countries.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
HLS 4	HEALTH FACILITIES	Correspondence, reports, and evaluative and planning material regarding health centers, hospitals, clinics, laboratories, pharmacies, dispensaries, and mobile units in cooperating countries.
HLS 5	NURSING	Correspondence, reports,and evaluative and planning material regarding the quality and adequacy of nursing services in cooperating countries.
HLS 6	NUTRITION	Correspondence, reports, and evaluative and planning material regarding nutrition in cooperating countries. Includes programs to combat malnutrition, improve food, etc. File material concerning the overall nutrition program in this category. Use individual tertiary breakdowns for material regarding specific phases of the program.
HLS 7	SANITATION	Correspondence, reports,and evaluative and planning material regarding all aspects of environmental sanitation, sanitary engineering, and inspection activities. Use tertiary breakdowns for specific areas such as: design, construction, and engineering management of rural and urban community water supply systems, including water pollution and purification. Industrial hygiene conditions in cooperating countries, and programs for their improvement. Control of insects and rodents that affect heath conditions in cooperating countries.
HLS 8	RESEARCH	Correspondence, reports, and evaluative material regarding health and sanitation research that cannot be filed under another breakdown in this outline. Includes periodic summaries of basic vital statistics used to support or verify findings relative to health and sanitation research in cooperating countries.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
HLS 9	POPULATION AND FAMILY PLANNING	Correspondence, reports, and evaluative material regarding birth control and family planning as means of coping with too rapid population growth, and related demographic studies. Case file by area of activity as volume warrants.

INDUSTRIAL DEVELOPMENT

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
IND	INDUSTRIAL DEVELOPMENT	Correspondence, reports, and evaluative and planning material regarding industrial technical aid aspects of the foreign aid program, including program purpose and concept, and decisions or conditions affecting the course of its conduct. Includes mechanization of industries in cooperating countries.
IND 1	AERIAL PHOTOGRAPHY AND MAPPING	Correspondence, reports, and evaluative and planning material regarding map making and related ground and aerial surveys.
IND 2	COOPERATIVES AND CREDIT	Correspondence, reports, and evaluative and planning material regarding developement of cooperatives and credit in cooperating countries. Includes industrial development banks and cottage industries.
IND 3	ENGINEERING	Correspondence, reports, and evaluative and planning material regarding architecture, and engineering development programs in cooperating countries, which are not classifiable under other outlines.
IND 4	INDUSTRIAL MANAGEMENT AND CONTROLS	Correspondence, reports, and evaluative and planning material regarding methods of establishing ownership, management practices, business ethics, corruption, profit-sharing, business failures, bankruptcy, etc. Includes government ownership or control of business and industry and the expropriation or confiscation of national or foreign-owned industry or property and restitution or compensation by the takeover government. Subdivide by type of industry or by name of company if volume warrants.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
IND 5	MANUFACTURING AND PROCESSING	Correspondence, reports, and evaluative and planning material regarding manufacture of electrical equipment, forest products, meat processing, manufacture of textiles, milling, machinery reproduction and fabrication of metals. Includes fertilizer production and supply. Arrange alphabetically by type of industry where volume warrants.
IND 6	MARKETING AND DISTRIBUTION	Material covering trade fairs and marketing and distribution of processed dairy products, agricultural and forest products, in cooperating countries. Includes export promotion.
IND 7	MINING	Correspondence, reports, and evaluative and planning material regarding ore exploration, development, refining, and smelting; and oil exploration, extracting, and refining in cooperating countries. Case file by type of industry if volume warrants.
IND 8	NUCLEAR ENERGY	Correspondence, reports, and evaluative and planning material regarding the use of nuclear energy for industrial purposes in cooperating countries.
IND 9	POWER	Correspondence, reports, and evaluative and planning material regarding development and planning for power production, distribution, operation, and management in cooperating countries. Include utilities.
IND 10	PRODUCTIVITY	Technical information on industrial productivity, including statistics, indices, and measurements, and concepts and techniques.
IND 11	RESEARCH	Communications regarding A.I.D. policy, procedures, and operational guidelines for industrial research. Limited to activities not classifiable under other secondary or tertiary subdivisions of this outline. Includes industrial standards.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
IND 12	SERVICE INDUSTRIES	Correspondence, reports, and evaluative and planning material regarding service industries in cooperating countries. Includes maintenance and repair industries; development and economic growth of tourism as an industry; and warehousing and storage facilities. Case file by type of industry if volume warrants.
IND 13	TELECOMMUNICATIONS	Correspondence, reports, and evaluative and planning material regarding telecommunications programs in cooperating countries. Includes radio, telephone, and telegraph.
IND 14	ENERGY DEVELOPMENT AND PRODUCTION	Correspondence, reports, and evaluative and planning material regarding the specific development of various types of energy; facilities used to produce energy for industrial and domestic consumption; construction, availability, and utilization of facilities; energy producing programs.

INFORMATION AND MASS COMMUNICATIONS

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
INF	INFORMATION AND MASS COMMUNICATIONS	Material reflecting A.I.D. information policy in the United States and in cooperating countries.
INF 1	AUDIOVISUAL MATERIAL	Material regarding techniques of production, utilization of available indigenous material, analysis of effectiveness of various media; design of emblems and letterheads; exhibits displayed publicly to explain or promote A.I.D. objectives; publicity activities of A.I.D.; and production and use of films. Case file where volume warrants.
INF 2	BRIEFING MATERIAL	Correspondence brief files prepared for the Administrator and/or Assistant Administrators; general briefing material prepared by overseas offices; reference files maintained by press officers.
INF 3	COMMUNICATIONS RESOURCES CENTERS	Information services project case files of Communications Resources Centers.
INF 4	INQUIRIES, TRANSMITTALS ACKNOWLEDGEMENTS	Acknowledgements, requests for and transmittals of publications, photographs, literature, etc., either within A.I.D. or to/from the public.
INF 5	PRESS, RADIO, AND TELEVISION	Correspondence and reports documenting the use of press, radio, and television in support of Agency programs in cooperating countries, and in disseminating information about the program to the public. (Cont'd)

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
INF 5	PRESS, RADIO, AND TELEVISION (Cont'd)	Transcripts of press conferences held by major Agency officials. Case files of clippings of feature stories on A.I.D. programs or personalities. Home town news story releases on Agency personnel.
INF 6	PUBLIC INFORMATION PROGRAMS	Papers which document the establishment and conduct of programs to disseminate information to the populace of other countries, and such programs as Freedom Of Information, and Privacy Act; all correspondence, reports, policy, and other data relating to the above.
INF 7	PUBLICATIONS	Papers documenting development, clearance, and control of Agency information publications for general public consumption; programs to provide books and other publications to developing countries and to assist in developing and expanding local writing, printing, publishing, and distribution capabilities and resources.
INF 8	SPECIAL EVENTS	Coverage of ceremonies, anniversaries, awards, and official social affairs, which involve the Administrator or high A.I.D. officials, or include officials or guests from foreign countries. Speeches on the subject of foreign aid made by A.I.D. officials to foreign or U.S. audiences.

LEGISLATIVE AND LEGAL

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
LEG	LEGISLATIVE AND LEGAL	Material regarding the basic organization and responsibilities of legislative and legal advisory service to the Agency.
LEG 1	AGREEMENTS	Material regarding procedures, objectives, and conditions for entering of agreements between A.I.D. and other parties, including agreements negotiated and administered by overseas posts. Case file agreements between United States and cooperating countries, representing the basis for Agency development assistance programs.
LEG 2	CONGRESSIONAL RELATIONS	General material regarding Congressional liaison activities, including correspondence with the Congress, both Committees and individual members, involving statements of policy and explanation of policy decisions, administrative action, and special research and compilation. Correspondence with individual Congressmen is filed in accordance with the subject content of the communications, and cross-referenced to case files arranged alphabetically by name of Congressman.
LEG 3	(RESERVED)	

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
LEG 4	DETERMINATIONS	General correspondence regarding evaluation of specific program proposals as required by the Agency, enabling appropriations and other legislative acts, and decisions that their implementation is consistent with criteria established in such legislation.
		Case file formal Determinations and supporting papers.
LEG 5	EXECUTIVE ORDERS	Executive Orders (signed by the President of the United States) which affect A.I.D. program or administrative operations and responsibilities, maintained by the Office of General Counsel.
LEG 6	FOREIGN ASSISTANCE ACT	Proposal, presentation, and analysis of legislation (and amendments thereto) establishing or affecting the foreign assistance program, A.I.D., and the policy guidelines under which it operates. Includes exhibits and supplementary documentation which supports legislative proposals.
LEG 7	LEGAL OPINIONS AND DECISIONS	Files of requests by A.I.D. offices for legal opinions on laws and Executive Orders, and replies to such requests by the General Counsel or Regional Counsels. File individual requests and opinions in accordance with subject content.
LEG 8	LEGAL SEALS	One example of each authorized legal seal or other device used in A.I.D./W, or overseas posts for identifying legally certified papers.
LEG 9	LEGISLATION, U.S. (Other than Agency)	Legislative review files containing copies of bills and laws, draft proposals and staff comments on proposed, existing, or revised legislation. Where volume warrants, case file papers regarding a specific law and arrange alphabetically by title of law, or numerically.
LEG 10	PATENTS	Material regarding trademarks, trade names, copyrights, etc., and the infringement or violation of rights, book privacy, etc., not made a part of claim files. Subdivide by type if volume warrants.

LOANS, GUARANTIES, AND PRIVATE ENTERPRISE

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
LGP	LOANS, GUARANTIES, AND PRIVATE ENTERPRISE	Material regarding concepts, objectives, and explanation of policies in Agency's loan, investment guaranty, or promotion of private enterprise programs.
LGP 1	INVESTMENT GUARANTIES	General correspondence regarding investment guaranties, including material regarding both extended and specific risk coverage, and investment guaranty ceiling. Procedures and guidelines governing the negotiation and approval of investment guaranty agreements with other countries. Case file country agreements files. Case file individual investment guaranty contracts and arrange alphabetically by name of contractor, or by contract number, as best suits users' needs.
LGP 2	LOANS	Material documenting the concept, objectives, and goals of the Agency loan program. Procedures and guidelines covering negotiation, renegotiation, financial analysis, etc., of loan agreements, including standard language development for use in loan agreements. Case file by type of loan when volume warrants.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
LGP 3	PRIVATE ENTERPRISE	Material documenting the concept, proposals, and implementation of Agency activities designed to enlist nongovernmental resources into economic development activities in cooperating countries. Includes U.S. investment incentives; studies of the development potential of geographic area; and analyses of laws, regulations, and attitudes in cooperating countries which affect the prospects of attracting private capital to those countries including such specifics as tax exemptions and other incentives.

ORGANIZATIONS, COMMITTEES, AND MEETINGS

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
OCM	ORGANIZATIONS, COMMITTEES AND MEETINGS	Substantive A.I.D.-related material prepared by, for, or about organizations, committees or meetings in which A.I.D. is involved or which are involved in A.I.D. programs.

PERSONNEL

Instructions

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

Separate files may be maintained for material regarding local and third country national employees, using any portion of this category, by inserting the letters "LOC" or "TCN" after "PER" in the code, as appropriate. For example: salary scales for American employees are classified PER 3; for local employees, PER LOC 3; and for third country national employees, PER TCN 3.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
PER	PERSONNEL	Material regarding the administration and operation of personnel functions in A.I.D. offices, not otherwise provided for in this schedule.
PER 1	ATTENDANCE AND LEAVE	General material regarding attendance and leave, including annual, home, military, court, and sick leave, extended hours and compensatory time procedures; and tours of duty and temporary duty (TDY).
PER 2	AWARDS AND INCENTIVES	Criteria, activities, and procedures governing the recognition of superior performance, length of service, creative effort, etc.; papers regarding determination of eligibility, selection, and ceremonies for various honor awards. Includes letters of commendation, Agency meritorious service citation, distinguished public service, and Presidential awards.
PER 3	COMPENSATION	Regulatory and procedural papers covering salary and wage scales, overtime, night and holiday pay, periodic and longevity step increases, and related correspondence. Allotment of pay, U.S. savings bonds; Government life, and hospital and medical insurance; withholding taxes; and final salary clearances.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
PER 4	CONDUCT AND DISCIPLINE	Regulations, procedures, and general material on conflict of interest, insubordination, prohibited political activity, sale or barter of personal property abroad, local currency transactions of employees, acceptance of gifts or decorations, legal offenses of employees, etc.; and related disciplinary action such as official reprimand and suspension.
PER 5	DEPENDENT EDUCATION	Material regarding assistance to schools organized at overseas posts for the education of dependents of employees; education allowances and educational travel.
PER 6	DIPLOMATIC RANK AND TITLE	Material regarding policy on privileges and immunities extended to Agency employees by cooperating country governments.
PER 7	EMPLOYEE MANAGEMENT RELATIONS	Material regarding employee unions and similar organizations, and their activities; consultation with employees by management on personnel and other management matters; and handling grievances and appeals. File specific types of grievances and appeals under appropriate subject in outline.
PER 8	EMPLOYEE SERVICES	Material regarding activities of, or services to, employees. Includes commissaries, post exchanges (PX), and similar facilities; charitable civic and other similar contributory efforts and annual drives; and employee welfare organizations, such as recreation associations and credit unions.
PER 9	EMPLOYMENT	Material regarding initial appointment, reinstatement, preemployment after break in service, or conversion, without break in service, between Civil Service and Foreign Service rolls; and employment of retired annuitants. Includes administration of personal services contract employees; policy and procedures to insure against discrimination in employment on basis of race, sex, creed, national origin, etc., and the detail of employees within the Agency, between the Agency and other

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
PER 9	EMPLOYMENT (Cont'd)	Government agencies and international organizations; transfer, promotion, rotation and assignment of employees; exercise of reemployment rights; assignment system procedures; and nomination of employees to Foreign Service posts. When volume warrants, establish case files for type of appointment (e.g., competitive service, excepted service, executive appointment, Foreign Service, Presidential appointment, resident staff, and temporary appointments).
PER 10	EVALUATION	Guidelines and standards, with related background and comment, used in appraisal and evaluation of classes of A.I.D. employees for promotion. Includes probationary ratings, performance measurement and ratings, completion of assignment reporting and related appeal procedures.
PER 11	HEALTH	Material regarding preemployment and other medical examinations, medical clearances and waivers; immunization and treatment of foreign service employees and dependents (including care in U.S. Government operated hospital); first aid and other health room services; medical evacuation of foreign service employees.
PER 12	INSURANCE	Policy and procedural material on employee insurance, including special issuances regarding coverage, terms, eligibility, or conditions related to any kind of employee insurance recognized or administered by the Agency.
PER 13	ORIENTATION AND TRAINING	Material documenting the concept and detailed content of employee development programs, including description of courses, sponsors, sample schedule of classes, classroom work, conferences, workshops, supervised practice, etc., by this Agency or other agencies or educational institutions, etc. When volume warrants, case file and arrange alphabetically by type of training program or name of training agency or institution.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
PER 14	PERSONAL STATUS	General material concerning Agency policies and procedures relative to the personal status (as opposed to employment status) of employees. Include such items as biographic data on marriage, divorce, name change and dependency status, present position or assignment, etc.
PER 15	POSITION CLASSIFICATION	General material regarding administration, CSC decisions affecting classification work, classification standards problems, activity reports, and general memoranda. Includes procedures for appeals to A.I.D./W and Civil Service Commission.
PER 16	RETIREMENT	Material regarding personnel retirement, including correspondence between personnel offices and FS employees on routine inquiries and assistance regarding retirement.
PER 17	SECURITY	Correspondence files regarding administration and operation of routine personnel security matters, including investigation and clearance procedures covering loyalty, security and suitability of Agency employees and their dependents; and applicants for employment. Includes fingerprinting and ID cards.
PER 18	SEPARATION	General correspondence regarding Agency policy and procedures covering employee resignation, separation for cause (removal), death, and departure under special legislative and other authorities, such as Selection-Out; and reduction-in-force (RIF).
PER 19	STAFFING	General material regarding authorized staffing levels and personnel strength.

PROCUREMENT AND CONTRACTING

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
PRC	PROCUREMENT AND CONTRACTING	Correspondence, reports, and evaluative and planning material regarding the development of procurement standards, policies, and procedures.
PRC 1	AUTHORIZATION	General correspondence regarding authorizations. Agreements and related papers reflecting procurement relationships with other U.S. Government agencies. Includes procurement authorization control; designation of private or public agencies to implement procurement transactions and special procedures governing purchasing activities of each; and procedures for preparation and use of procurement documents such as procurement authorizations, project implementation orders, and purchase orders.
PRC 2	COMMODITIES	General correspondence and memoranda regarding designation of commodities by code, and use of or adjustment to codes. Commodity procurement controls. Arrival accounting, damage and shortage procedures; commodity import processing. Source limitations in commodity procurement, including "buy American" policy; and ownership of commodities financed under A.I.D. programs.
PRC 3	CONTRACTS	Policy and procedural material governing contracts. Includes standard provisions established for inclusion in all contracts; responsibilities of contract representatives; preparation of invitation to bid, and assuring availability to all bidders; lists of acceptable

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
PRC 3 CONTRACTS (Cont'd)		bidders and routine inquiries and requests for placement on bid lists; background, capabilities, and eligibility of contractors; contract negotiation and award.
		Case file papers regarding awarding of specific contracts.
PRC 4	DOCUMENTATION	General material regarding papers required to fully document procurement transactions.
PRC 5	INSURANCE	Material regarding insurance financed under Agency procurement programs, including general average contributions.
PRC 6	MARKING REQUIREMENTS	Correspondence regarding design of emblems, labels, and symbols used to publicize and identify Agency activities. Waivers of marking requirements, not otherwise case filed.
PRC 7	SHIPPING SERVICE	Correspondence, reports, and evaluative and planning material regarding procedures, policies, and operations associated with the transportation of commodities financed under Agency programs.
		File material regarding a specific commodity transaction, with other papers documenting the transaction, and arrange by commodity document number.
PRC 8	TRIANGULAR TRANSACTIONS	Papers documenting background, origin, procedures, and policies of triangular trade program.
PRC 9	U.S. GOVERNMENT-OWNED PROPERTY	Policies, procedures, and criteria for acquiring and using U.S. Government-owned excess property in Agency programs.
		Agreements with cooperating countries, international organizations, and nonprofit relief agencies for utilization of domestic excess property.
		Case files concerning acquisition by host countries and voluntary agencies.
PRC 10	PRIVATELY DONATED PROPERTY	General material on property privately donated for use in development assistance programs. Includes Agency conditions of acceptance.

PROGRAM DEVELOPMENT, EVALUATION, AND RESEARCH

Instructions

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

EXCEPT: Project Files. Establish a case file to provide complete documentation for each project and arrange as prescribed in Chapter 5 of this handbook.

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
PRM 2	INTER-REGIONAL (Cont'd)	interregional programs and statements of organization and technical application as related to interregional activities.
PRM 3	REGIONAL ACTIVITIES	Correspondence relating to general program and backstopping activity extending beyond the geographic limits of a given country, but within regional boundaries established by the Agency (Africa, Asia, Latin America). Includes formal statements of purpose, scope, and objectives of regionally administered technical aid activities; regional program plans, appraisals, and evaluative documents; and project, sector, or goal plans.
PRM 4	PROGRAM EVALUATION	General material regarding policies and procedures for review and assessment of methods of providing assistance and appraisal of effectiveness of Agency programs.
		Case file individual evaluations.
PRM 5	PROGRAM METHODS	General material regarding methodology and types of programs; criteria for determining the method of financing and the administration of capital assistance projects; policy and procedural material regarding selection of program assistance as an Agency method of providing nonproject assistance and selection of technical assistance as a method of program implementation.
PRM 6	PROGRAM RESEARCH	Correspondence regarding overall activities in the exploration of new methods of program implementation. File material documenting individual research projects under appropriate subject.
PRM 7	OTHER ASSISTANCE PROGRAMS	Correspondence, memoranda, minutes of meetings, studies, and position papers regarding A.I.D. participation or interest in reviewing programs and coordinating Agency and U.S. position before international organizations and cooperating committees. Includes arrangements and conditions for consortium agreements or multilateral financing of foreign aid activities; foreign assistance and A.I.D. liaison with such organizations; programs of

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
PRM 7	OTHER ASSISTANCE PROGRAMS (Cont'd)	UN and its affiliated organizations; foreign assistance activities of other U.S. Government agencies, and other nations; student exchange and U.S. Exchange programs; Grants-in-Kind and Grants-in-Aid files and related papers; and background information on overseas activities of foundations, educational institutions, nonprofit voluntary agencies, etc. Case file by name of organization or country as need and volume dictate.

PUBLIC ADMINISTRATION

Instructions

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

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
PUB 6	(Reserved)	
PUB 7	SCHOOLS OF PUBLIC ADMINISTRATION	Papers regarding programs for the improvement or establishment of schools of public administration, and institutes and schools of business administration, in cooperating countries.
PUB 8	STATISTICAL METHODS AND ACTIVITIES	Papers regarding programs for the improvement of cooperating countries' statistical methods and activities, including strengthening of organization and procedures for collection, analysis, and publication of statistical data.

SCIENCE AND TECHNOLOGY

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
SCT	GENERAL POLICY, PLANS, AND PROGRAMS	Correspondence, memoranda, reports, and studies regarding the formulation and approval of the scientific and technology programs and their coordination with the other A.I.D. programs.
SCT 1	NARRATIVE AND STATISTICAL REPORTS	General science and technology reports and statistical documents not filed under more specific subject headings. Includes annual narrative and statistical reports.
SCT 2	ORGANIZATIONS, COMMITTEES, AND MEETINGS	General organizational items not filed under more specific file subjects. Includes agenda and minutes of A.I.D./S&T staff meetings. Subdivide by name of organization or committee (e.g., White House Advisor, National Bureau of Standards, World Bank, etc.).
SCT 3	RESEARCH	General correspondence, evaluative material, and other data on research centers and laboratories. Case file scientific and technical research reports and related data.
SCT 4	SCIENCE AND ENGINEERING	General correspondence and routine evaluative and administrative material for policy, plans, and programs on science and engineering.
SCT 5	NATIONAL SCIENCE POLICY	General correspondence relating to host country policy, plans, and programs for science and technology utilization for country development.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
SCT 6	SCIENTIFIC AND TECHNICAL INFORMATION	Material regarding cooperating country requirements for scientific information, data, reports, publications, information exchange; acquisition, processing and use of technical information, facilities and skills.
SCT 7	TECHNOLOGY TRANSFER	Material on assistance to cooperating countries in adopting modern technologies, which cannot be filed under a specific technical assistance category.
SCT 8	NATURAL RESOURCES	Correspondence and memoranda of a general nature on natural resources in cooperating countries.
SCT 9	MARINE SCIENCE AND FISHERIES	Correspondence, memoranda, reports, studies, and other data on marine science and fisheries policies, plans, and programs.
SCT 10	FORESTRY	Correspondence, memoranda, reports, studies and other data on host country programs for more effective management and use of forestry resources.
SCT 11	PUBLIC WORKS TECHNOLOGY	Correspondence, memoranda, reports, studies and other data on assistance in reducing building and construction materials.
SCT 12	HOUSING TECHNOLOGY	Correspondence, memoranda, reports, studies and other data on innovative approaches to reducing costs; improving performance and utilizing local materials and labor in the construction of housing and related community buildings in developing countries.
SCT 13	COMPUTER TECHNOLOGY	Reports, correspondence, and surveys on applications of computer technology to cooperating country development needs, computer data processing systems; investment, manpower and training requirements.
SCT 14	COMMUNICATIONS TECHNOLOGY	Reports and studies on low-cost telecommunications requirements; radio and television systems; educational applications; communications satellites.
SCT 15	TRANSPORTATION TECHNOLOGY	Reports and studies of efforts of cooperating countries to expand transportation technology.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
SCT 16	INDUSTRIAL TECHNOLOGY	Correspondence and memoranda on attempts by cooperating countries to expand industrial base, small-scale industry, etc.
SCT 17	REMOTE SENSING	Correspondence, memoranda, reports, studies, and other data on the Earth Resource Survey Programs.
SCT 18	ENVIRONMENT	Correspondence, memoranda, reports, studies and other data on control and abatement of earth, water, and air pollution; assessing undersirable effects of modern technologies on the environmental safeguards. Includes papers and documents concerning short-term and long-term resource management as well as papers providing information on A.I.D.'s environmental programs and policies.
SCT 19	EDUCATION AND UNIVERSITY ORIENTATION	Studies and surveys on encouraging more effective orientation of university, science and engineering programs to development needs in lesser developed countries.
SCT 20	ENERGY	Policy or procedural, planning, and guidance material governing the development of energy programs and projects in underdeveloped countries. Includes general research and development on geothermal, low power, nuclear, and solar energy, as well as materials dealing with alternative forms of energy, such as bio-gas, bio-mass, hydro-power, and photovoltaic technology. Case file by individual name of project or form of energy if volume warrants.
SCT 21	LAWS, REGULATIONS, AND AGREEMENTS	Reports and studies on legislative programs on legal matters pertaining to science and technology.

SOCIAL AND INSTITUTIONAL DEVELOPMENT

Instructions

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

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
SOC 4	HOUSING AND URBAN DEVELOPMENT (Cont'd)	utilization of building materials, and construction of buildings; condition or extent of cooperative housing; housing finance, management of savings and loan associations, and mortgage insurance; housing and urban development programs; village and city planning, finance, labor markets, migration, and workers participation in development.
SOC 5	LABOR	Correspondence, reports, and evaluative and planning material regarding labor development. Includes cooperating country government attitudes and policies and makeup of labor forces; labor information programs; industrial relations; enforcement of labor standards; availability of skilled and unskilled laborers; utilization of training, projections of future requirements, and distribution of manpower; disability, retirement, and unemployment insurance programs; trade union administration; techniques of collective bargaining; union-sponsored activities.
SOC 6	SOCIAL SERVICES	Correspondence, reports, and evaluative and planning material regarding social services, including maternal and child care, group work, community service organizations, vocational rehabilitation, and programs for relief of refugees and migrants.
SOC 7	WOMEN-IN-DEVELOPMENT	Programs and projects reflecting the role and function of women in less developed countries. Strategies for benefiting women; sex disaggregated data collection; gender-specific social soundness analysis and/or economic analysis; programs where special efforts are required due to cultural conditions; funding less developed country women for training.
SOC 8	DISASTER ASSISTANCE	Concerns natural and man-made disasters on a world-wide basis. For example, matters concerning earthquake reconstruction, refugee assistance, delivery of life-support goods and services when and where needed and enhancement of recovery by rehabilitation programs.

TRAINING

Instructions

This category covers Agency activities, policies, and procedures related to the training of cooperating-country nationals, including selection of participants, planning and implementation of their training courses, follow-up to assure optimum utilization of training and evaluations of the training program as a whole.

Maintain case files of participant or training projects as a separate file group, arranged alphabetically by name of participant or by project number.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
TRG	TRAINING	Substantive policy, planning, program and evaluative material documenting the development of methods and procedures for implementation of the participant training program. Routine administrative and evaluative correspondence regarding any phase of participant training program.
TRG 1	ALLOWANCES	Material regarding training allowances for expenses, maintenance, books, travel, equipment, and supplies.
TRG 2	AREA OF TRAINING	Correspondence and reports relating to policy and procedures on third-country training and host country training, including information and evaluation of facilities. Papers regarding policy on training in the United States.
TRG 3	CONFERENCE ATTENDANCE	Papers regarding conferences attended by participants in connection with training programs, indicating number in attendance, dates, places, and itineraries.
TRG 4	COURSES	Material describing training courses available to participants, including prospectuses. If volume warrants, case file by technical activity covered by the courses.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
TRG 5	DURATION	Papers regarding length of training programs and guidelines on desired starting and terminal dates.
TRG 6	EVALUATION	Reports and studies used to evaluate effectiveness of training methods and techniques in specific fields of activity, country, or overall participant training program. Case file by individual evaluation study or project if volume warrants.
TRG 7	FACILITIES	Liaison and strengthening of relationships with organizations that provide training, hospitality, community activity, or services to participants. Case file by individual facilities, as needed.
TRG 8	FOLLOW-UP OF PARTICIPANTS	Correspondence and related material regarding methods to assure continuing contact with participants after training to develop maximum potential of individual participants.
TRG 9	PROCESSING	Policy, procedures, and guidance papers regarding processing of individual participants. Papers regarding policy, procedures, and guidance in preparation and use of PIO/P's. Mission predeparture briefing, port of entry and reception procedures, and orientation in country of training; participant and dependent travel, purchases, ownership and operation of automobiles, interpreter services, insurance, waiver of visa requirements, and handling of illness and death cases.
TRG 10	TRAINING NOTICES	Participant Training Directories, newsletters, and other issuances prepared for use of participants, S&T/IT, and other A.I.D. staff.
TRG 11	SELECTION	Policy and procedural papers regarding criteria for selection of participants, including security clearances, academic requirements, etc.

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
TRG 12	SPONSORS	Material regarding training of cooperating-country nationals under other than direct Agency administration and/or financing. Includes training arranged or administered by the Agency but financed from other sources.
TRG 13	TRAINING AIDS	Examples of training aids developed by the Agency, including books, translations, audiovisual, and other training media.

TRANSPORTATION

Instructions

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

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
TRP	TRANSPORTATION	Correspondence, reports, and evaluative and planning material regarding transportation technical aid aspects of the foreign aid program, including program purpose and concept, and decisions or conditions affecting the course of its conduct.
TRP 1	AIR TRANSPORT	Correspondence, reports, and evaluative and planning material regarding air transport development; airline operation, maintenance, and safety; and air navigation systems and meteorological services of cooperating countries.
TRP 2	HIGHWAYS	Correspondence, reports, and evaluative and planning material regarding highways systems; the adequacy and quality of highway construction and maintenance; and motor transport systems in cooperating countries.
TRP 3	INLAND WATERWAYS	Correspondence, reports, and evaluative and planning material regarding inland waterways in cooperating countries.
TRP 4	PORTS AND HARBORS	Correspondence, reports, and evaluative and planning material regarding ports and harbors; handling of cargo, port storage and warehousing facilities; and dock facilities.
TRP 5	RAILROADS	Correspondence, reports, and evaluative and planning material regarding cooperating country railroads; their construction and maintenance; operation, and rail signal systems.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
TRP 6	SHIP OPERATIONS	Correspondence, reports, and evaluative and planning material regarding operation of ships, sea navigational aids, and maritime facilities in cooperating countries. Includes reports of volume carried.

TRAVEL

Instructions

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

	FILE CLASSIFICATION	DESCRIPTION OF RECORDS
TRV	TRAVEL	General policy and procedural material regarding travel of Agency, participating agency, and contract.
TRV 1	ALLOWANCES	Material furnishing information and interpretations of policy regarding monetary allowances for travel expenses, including per diem and mileage rates.
TRV 2	AUTHORIZATION	General correspondence and reports regarding travel authorizations (travel orders). File travel orders of individual travelers in employees' travel folder.
TRV 3	CARRIERS	Informational and procedural material regarding carriers, including services, rates, routes, and schedules. Includes air, ships, bus and rail carriers.
TRV 4	DEPENDENTS	Material regarding interpretation and explanation of policy, procedures, and operations governing travel of dependents, including advance home leave travel.
TRV 5	PASSPORTS	Passport files, including copies of completed forms used for application, issuances, renewal, etc., and related correspondence. Includes visas.
TRV 6	EFFECTS	Material regarding transport of effects, including interpretation or explanation of policy and procedures. Covers packing and crating, insurance, shipment, and storage and personal household effects, baggage and vehicles. Generally, material regarding effects of individual travelers is filed in employee's travel folder.

FILE CLASSIFICATION		DESCRIPTION OF RECORDS
TRV 7	TRAVELERS	Name files (travel folders) consisting of passenger transportation records pertaining to reimbursement to individuals, copies of travel orders, per diem vouchers, travel requests, hotel and trip reservations, and other supporting papers regarding official travel of officers, employees, contract personnel, and dependents, including papers regarding shipment of automobiles, baggage, and effects. Arrange alphabetically by name of traveler.

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Other (use approp. subj.)

BANKRUPTCY (business) . . . . . IND 4

BANKS & BANKING . . . . . ECF 1
Agricultural credit . . . . . AGR 3
Commercial & private . . . . . ECF 1
Development (Use approp.
subj.) or . . . . . LGP 2

Financing of Agency
transactions . . . . . FIS 4
Government . . . . . ECF 1
Industrial Development . . . . . IND 2
International institutions . . . PRM 7
Participation in Agency loan
transactions . . . . . LGP 2
Public administration
Programs in . . . . . PUB 2

BARGAINING, COLLECTIVE
Labor/Management . . . . . SOC 5
Trade union techniques in . . . . SOC 5

BARTER:
International trade . . . . . ECF 4
Of personal property by
overseas personnel . . . . . PER 4
Under PL-480 . . . . . FPC 7

BASE METALS . . . . . IND 7

BATTLE ACT (trade
restrictions) . . . . . ECF 4

BIBLIOGRAPHIES (use approp.
subj.) or . . . . . GRS 3

BIDS . . . . . PRC 3

BILATERAL AGREEMENTS:
Economic & technical
assistance . . . . . LEG 1

BILLING . . . . . FIS 5

BILLS OF LADING:
Commodities, equipment &
supplies . . . . . PRC 4
Employee effects . . . . . TRV 6

BIO-GAS . . . . . SCT 21

BIO-MASS . . . . . SCT 21

BIOGRAPHIC DATA:
Agency personnel (preparation
of) . . . . . PER 9
Congress (U.S.) members of . . . LEG 2
Participants (preparation of) . . TRG 9

BIRTH CONTROL . . . . . HLS 9

BLACK LISTS:
Procurement agents . . . . . PRC 1
Trade . . . . . ECF 4

BLACK MARKET:
Agency employee transactions . . PER 4
Currency . . . . . ECF 4
Operations (general) . . . . . ECF 3

BLOC ASSISTANCE:
Economic & technical:
General . . . . . PRM 7
Specific (use approp.
subj.)

BLOCKADE:
Economic . . . . . ECF 4

BLOCKED CURRENCIES . . . . . ECF 4

BONDS:
Performance bid . . . . . PRC 3
Savings:
Drives . . . . . PER 8
Payroll deductions for . . . . FIS 12

BOOK ALLOWANCES (participants) . . TRG 1

BOOK EXCHANGE, U.S. . . . . PRM 7

BOOK PIRACY . . . . . LEG 10

BOOK PROGRAM . . . . . INF 7

BOOKS:
Country program . . . . . PRM 1
Economic data . . . . . ECF 3
Use in Agency program
(use approp. subj.)

BRIDGES:
Highway . . . . . TRP 2
Railway . . . . . TRP 5

BRIEFING MATERIALS . . . . . INF 2

BROADCASTING:
Commercial . . . . . IND 13
Information . . . . . INF 5

BUDGET:
Agency (including gold
budget) . . . . . BUD
Country . . . . . ECF 2
Participant training
courses in . . . . . TRG 4
Support, Cash Transfer . . . . . PRM 5
Support, Shared
Administrative . . . . . BUD 5

BUDGET, OFFICE OF MANAGEMENT AND
(Agency submission &
hearings) . . . . . BUD 2

BUILDING:
Guards . . . . . GRS 1
Maintenance & repair . . . . . GRS 1
Materials:
Manufacture . . . . . IND 5
Procurement . . . . . PRC 2
Use, Availability . . . . . SOC 4
Design, Methods . . . . . SCT 13
Protection . . . . . GRS 1
Safety . . . . . GRS 1
Security . . . . . GRS 1
Services . . . . . GRS 1
Space . . . . . GRS 6

BUILDINGS, FARM . . . . . AGR 6

BUSINESS:
Activities of Agency
employees . . . . . PER 4
Cycles . . . . . ECF 3
Ethics . . . . . IND 4
Expropriation . . . . . IND 4
Risk guaranty . . . . . LGP 1
General . . . . . IND
Restrictive Practices . . . . . IND 4
Volunteers . . . . . LGP 3

BUY AMERICAN . . . . . PRC 2

C

CABLEGRAM PREPARATION . . . . . ADM 8

CABLES:
Agency communication
(preparation) . . . . . ADM 8

CAMPAIGNS (fund raising) . . . . . PER 8

CANALS:
Inland waterways . . . . . TRP 3

CANDIDATES:
Agency employment applicants . . PER 9
Participants . . . . . TRG 11

CAPITAL:
Assistance . . . . . PRM 5
Equipment (procurement) . . . . . PRC
Movements (flight of) . . . . . ECF 4

CARDS, ID . . . . . PER 17

CAREER DEVELOPMENT . . . . . PER 13

CARGO:
Handling & storage in
ports . . . . . TRP 4
Shipment of Agency-financed
commodities . . . . . PRC 7

CARGOES, DISTRESSED (Agency
end-use observation) . . . . . FIS 3

CARRIERS:
Shipping . . . . . PRC 7
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CARTELS . . . . . IND 4

CARTOGRAPHY . . . . . IND 1

CASH:
Advances . . . . . FIS 10
Awards to employees . . . . . PER 2
Grant accounting . . . . . FIS 14
Transfers . . . . . PRM 5

CASHIERS, AGENT . . . . . FIS 10

CASTE RELATIONSHIPS . . . . . SOC 3

CEILINGS:
Budget . . . . . BUD 5
Investment guaranties . . . . . LGP 1
Personnel . . . . . BUD 5

CENSUS:
Reception (participant) . . . . . TRG 9
Refugee . . . . . SOC 6

CENTRAL AMERICAN COMMON
MARKET . . . . . ECF 4

CERTIFICATES (use approp. subj.)
Of participant achievement . . . TRG 8
Suppliers . . . . . PRC 4

CERTIFICATION, SECTION 1311 . . . . FIS 2

CERTIFYING OFFICERS . . . . . FIS 3

CHARGE, ADVICE OF . . . . . FIS 2

CHARGE TRANSACTIONS, GSA
RETAIL STORE . . . . . PRC 1

CHARITIES:
Employee drives . . . . . PER 8
Social services . . . . . SOC 6
Under PL 480 . . . . . FPC 2

CHARTER OF AIRCRAFT (by Agency) . . PRC

CHARTS, ORGANIZATION . . . . . ADM 6

CHAUFFEURS (Agency) . . . . . GRS 4

CHILD:
Care, social service . . . . . SOC 6
Feeding under PL 480 . . . . . FPC 2
FPC 6
Health . . . . . HLS 5
Labor . . . . . SOC 5

CHILDREN:
Adoption by employees . . . . . PER 14
Education of FS dependents . . . PER 5
Social Services . . . . . SOC 6

CHOLERA . . . . . HLS 2

CITIZENSHIP REQUIREMENTS,
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CITY PLANNING . . . . . SOC 4

CIVIL:
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Service:
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Examinations . . . . . PER 9
Public personnel
administration . . . . . PUB 5
Retirement . . . . . PER 16

CLAIMS:
Commodity insurance . . . . . PRC 5
Employees:
Accident . . . . . PER 11
Evacuation . . . . . FIS 7
Insurance . . . . . PER 12
Tort . . . . . FIS 7
Investment guarantee . . . . . FIS 7
Participant insurance . . . . . TRG 9

CLASS STRUCTURE . . . . . SOC 3

CLASSIFICATION:
Codes:
Fiscal . . . . . FIS 8
Records . . . . . ADM 8
Position . . . . . PER 15
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CLASSIFIED DOCUMENTS . . . . . ADM 9
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Storage . . . . . ADM 9

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Correspondence . . . . . ADM 8
Final Salary . . . . . PER 3
Flight:
Non-military aircraft . . . . . TRP 1
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Publications (Agency) . . . . . INF 7
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Security:
Employees . . . . . PER 17
Participants . . . . . TRG 11
Slum . . . . . SOC 4
Speeches (by Agency
employees) . . . . . INF 9
White House (of employees) . . . PER 9

CLIMATE, INVESTMENT . . . . . LGP 3

CLINICS, MEDICAL . . . . . HLS 4
Agency use . . . . . PER 11

CLIPPINGS:
General . . . . . INF 5
Specific (use approp. subj.)

CLOSING OF MISSIONS & OFFICES . . . ADM 6

CLOUD SEEDING . . . . . SCT 9

CLUBS:
Employee . . . . . PER 8
Youth:
Agricultural (4-H etc.) . . . . AGR 5
Non-agricultural . . . . . SOC 6

COAL & COKE MINING . . . . . IND 7

COASTAL RESOURCES MANAGEMENT . . . SCT 19

CODE OF ETHICS (personnel) . . . . PER 4

CODES: (use approp. subj.)
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Fiscal classification . . . . . FIS 8
Language (personnel aptitude classification) . . . . . PER 13
Object classification . . . . . FIS 8
Occupational . . . . . PER 15
Records classification . . . . . ADM 8

CODIFICATION OF LAWS . . . . . PUB 3

COLLECTION TRANSACTIONS (fiscal) . . . . . FIS 5

COLLECTIVE BARGAINING (labor-management) . . . . . SOC 5
Trade union techniques in . . . . SOC 5

COLLECTIVES (see COOPERATIVES)

COLLEGE FACILITIES . . . . . EDU 9

COLLEGES:
Academic . . . . . EDU 6
Agricultural . . . . . AGR 1
Contracts with . . . . . PRC 3
Medical . . . . . HLS 1

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COMMENDATIONS: (use approp. subj.)
Agency employees . . . . . PER 2
Participants . . . . . TRG 8

COMMERCE, FOREIGN . . . . . ECF 4

COMMERCIAL BANKING . . . . . ECF 1

COMMINGLING OF PROGRAMS (U.S. & Communist bloc) . . . . . PRM 7

COMMISSARIES:
Employee privileges (Agency) . . PER 18

COMMISSIONS (use approp. subj.)
Agents . . . . . PRC 1

COMMITMENT, LETTER OF (procedures) . . . . . FIS 4

COMMITTEES: (use approp. subj.) . . . . . OCM
Congressional . . . . . LEG 2
Travel . . . . . TRV 7

COMMODITIES:
Manuafacturing, processing . . . IND 5
Marketing & distribution . . . . IND 6
Agricultural, under PL 480 . . . FPC

COMMODITY:
Assistance (as program method) . . . . . PRM 5
Codes . . . . . PRC 2
Procurement:
Authorization . . . . . PRC 1
Bank financing . . . . . FIS 4
Documentation . . . . . PRC 4
Eligibility for Agency financing . . . . . PRC 2
Labeling, marking . . . . . PRC 6
Ownership . . . . . PRC 2
Source requirements . . . . . PRC 2
Untying source restrictions . . . . . PRC 2
Shipments . . . . . PRC 7
U.S. flagship requirements . . PRC 7

COMMON MARKETS . . . . . ECF 4

COMMUNICATIONS:
Agency . . . . . ADM 8,
Congressional . . . . . LEG 2
Industry . . . . . IND 13
Mass . . . . . INF
Media, training courses . . . . . TRG 4
Resources centers . . . . . INF 3
Technology . . . . . SCT 15

COMMUNIST BLOC:
Activities (use approp. subj.)
Assistance:
Economic & technical . . . . . PRM 7
Propaganda . . . . . INF 6

COMMUNITY:
Development . . . . . SOC 1
Alternative strategies . . . . SOC 1
Financial markets . . . . . SOC 1
Methodologies . . . . . SOC 1
Training courses . . . . . TRG 4
Planning . . . . . SOC 4
Schools abroad (for dependents of FS employees) . . . . . PER 5
Water supply . . . . . HLS 7

COMPENSATION:
Agency personnel . . . . . PER 3
Federal Employees Compensation Act . . . . . PER 11
Unemployment . . . . . SOC 5
Workmen's . . . . . SOC 5

COMPENSATORY TIME . . . . . PER 1

COMPETITIVE SERVICE APPOINTMENTS . . . . . PER 9

COMPLETION OF ASSIGNMENT REPORTING . . . . . PER 10

COMPTROLLER GENERAL DECISIONS:
General . . . . . LEG 7
Specific (use approp. subj.)

COMPULSORY:
Labor . . . . . SOC 5

COMPUTER TECHNOLOGY . . . . . SCT 14

CONCILIATION:
Labor-management disputes . . . . SOC 5

CONDEMNATION (property) . . . . . GRS 2

CONDOLENCES:
Congress, members of . . . . . LEG 2

CONDUCT, EMPLOYEE . . . . . PER 4

CONFEREE ACTIONS (of Congressional appropriation committees) . . . . BUD 3

CONFERENCES: (use approp. subj.) . . . . . OCM
Employee development . . . . . PER 13
Mission director . . . . . ADM 3
Participant attendance . . . . . TRG 3
Press . . . . . INF 5

CONFISCATION (of industry or property) . . . . . IND 4
Risk guaranty . . . . . LGP 1

CONFLICT:
Of interest . . . . . PER 4

CONGRESS:
Agency relations with . . . . . LEG 2
Reports to:
General comprehensive . . . . . INF 7
Specific (use approp. subj.)
Fund utilization (Sec. 634d) . . . . . BUD 5

CONGRESSIONAL:
Committees . . . . . LEG 2
Hearings:
Appropriation legislation:
House . . . . . BUD 3
Senate . . . . . BUD 3
Authorizing legislation:
House . . . . . LEG 6
Senate . . . . . LEG 6
Inquiries (use approp. subj.) . . LEG 2
Investigations . . . . . LEG 2
Presentation . . . . . BUD 3
Relations. Liaison . . . . . LEG 2
Travel (Agency-financed) . . . . TRV 7

CONSERVATION . . . . . SCT 19

CONSOLIDATED ADMINISTRATION (Of State/A.I.D./USIA) . . . . . ADM 6

CONSORTIUM ARRANGEMENTS:
General . . . . . PRM 7
Loans . . . . . LGP 2

CONSTITUTIONAL LAW:
Of U.S., affecting Agency . . . . LEG 9

CONSTRUCTION:
Airports & landing fields . . . . TRP 1
Dams:
Irrigation, drainage, & reclamation . . . . . AGR 9
Multipurpose . . . . . SCT 9
Power . . . . . IND 9
Highways . . . . . TRP 2
Hospitals . . . . . HLS 4
Housing . . . . . SOC 4
As industry . . . . . IND 12
Methods, materials, design . . . SCT 13
Ports & harbors . . . . . TRP 4
Railroads . . . . . TRP 5
School facilities . . . . . EDU 9
Sewer systems . . . . . HLS 7
Telecommunications systems . . . IND 13
Trends (as economic indicator) . EFC 3
Water systems . . . . . HLS 7

CONSULAR:
Invoices . . . . . PRC 4

CONSULTANTS:
Employment . . . . . PER 9
Work of (use approp. subj.)

CONSULTATION, PERSONNEL . . . . . PER 9

CONSUMER COOPERATIVES . . . . . IND 2

CONSUMPTION, POWER
(as economic indicator) . . . . . ECF 3

CONTAMINATION:
Health aspect (air, food, water). HLS 2

CONTINGENCY:
Fund: (Agency)
Accounting . . . . . FIS 14
Budgeting . . . . . BUD 5

CONTINUING RESOLUTION . . . . . BUD 5

CONTRABAND . . . . . ECF 4

CONTRACTOR-SPONSORED
PARTICIPANT TRAINING . . . . . TRG 12

CONTRACTORS . . . . . PRC 3

CONTRACTS . . . . . PRC 3
Audits of . . . . . FIS 3
Authorization documents . . . . . PRC 1
Bank financing of . . . . . FIS 4
Bids . . . . . PRC 3
Employees of contractors . . . . PRC 3
Investment guaranty . . . . . LGP 1
Long-term supply (under PL 480) . . . . . FPC 5
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University . . . . . PRC 3

CONTRIBUTIONS:
Agency accounting:
Host country . . . . . FIS 14
To other assistance programs . FIS 14
Employee . . . . . PER 8

CONTROL:
Birth . . . . . HLS 9
Communications . . . . . ADM 8
Customs . . . . . ECF 4
Directives . . . . . ADM 8
Diseases & epidemics . . . . . HLS 2
Exports & imports (other than arms) . . . . . ECF 4
Flood . . . . . AGR 9
Forms . . . . . ADM 8
Pest: (insects, rodents, etc.)
Animal . . . . . AGR 10
Crop . . . . . AGR 4
Sanitation aspect . . . . . HLS 7
Records . . . . . ADM 8
Reports . . . . . ADM 8
Trade . . . . . ECF 4
Weed . . . . . AGR 4

CONVENTIONS (use approp. subj.)

CONVERSION, CURRENCY
(see CURRENCY)

CONVERTIBILITY, CURRENCY
(see CURRENCY)

CONVERTIBLE DEBENTURES
(Agency loan provisions) . . . . LCP 20

COOPERATION, INTERNATIONAL:
(use approp. subj.)
Economic . . . . . ECF 4
Assistance programs . . . . . PRM 7

COOPERATIVE ADVISORY
COMMITTEE . . . . . SOC 2

COOPERATIVE SERVICES:
Accounting . . . . . FIS 14
Agreements . . . . . PRM 1
Audit, internal . . . . . FIS 3
Organization & functions . . . . ADM 6

COOPERATIVES: (use approp. subj.)
Agricultural . . . . . AGR 3
Employee . . . . . PER 8
General . . . . . SOC 2
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Industrial . . . . . IND 2
Labor . . . . . SOC 5

COORDINATION: (use approp. subj.)
Agency with other Federal
Agencies . . . . . ADM 6

COORDINATING COMMITTEE ON
DEVELOPMENT FINANCING . . . . . LGP 2

COPYRIGHTS . . . . . LEG 10

CORRESPONDENCE
Control . . . . . ADM 8
Handbooks . . . . . ADM 8
Management . . . . . ADM 8
Preparation . . . . . ADM 8

CORRUPTION:
Business . . . . . IND 4

COST ACCOUNTING . . . . . FIS 9

COST OF LIVING:
Allowances . . . . . PER 3
Index (economic indicator) . . . ECF 3

COST REDUCTION & MANAGEMENT
IMPROVEMENT . . . . . ADM 1

COTTAGE INDUSTRY . . . . . IND 2

COUNTERFEITING:
Economic aspect . . . . . ECF 1

COUNTERPART FUNDS:
Accounting . . . . . FIS 14
Budgeting . . . . . BUD
Uses of (use approp. subj.)

COUNTRY:
Agreements:
Economic & technical
assistance . . . . . LEG 1
Assistance prgram (CAP) . . . . . PRM 1
Audit reports . . . . . FIS 3
Books . . . . . PRM 1
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Congressional hearings:
Appropriation bills . . . . . BUD 3, 3
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Program(s) . . . . . PRM 1
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PRM 1
Guidelines . . . . . PRM 1
Implementation plans . . . . . PRM 1
Long-Range Assistance
Strategy (LAS) . . . . . PRM 1

COURSES:
Participant training . . . . . TRG 4
Personnel training . . . . . PER 13
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COURT LEAVE . . . . . PER 1

CREDIT:
Agricultural . . . . . AGR 3
Industrial . . . . . IND 2
Inquiries (agency personnel) . . PER 8
Intermediate credit institutions:
Agency loan participation . . . LGP 2
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Military, toward retirement . . . PER 16
Portfolios (banking) . . . . . ECF 1
Sales:
Long-term dollar credits
(PL 480) . . . . . FPC 5
Unions:
As cooperative banks . . . . . ECF 1
Federal . . . . . PER 8
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CRIMES: (use approp. subj.)
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CRITICAL MATERIALS:
Agency procurement from . . . . PRC 9

CRITICISM, AGENCY PROGRAM:
Congressional . . . . . LEG 2
Specific programs & policies
(use approp. subj.)

CROPS:
Diseases, pests & weeds . . . . . AGR 4
Pest control . . . . . AGR 4
Production . . . . . AGR 4

CULTURAL:
Exchange program . . . . . PRM 7

CULTURAL ORG., U.N. EDUC.,
SCIENTIFIC & (UNESCO) . . . . . PRM 7

CULTURE (national) . . . . . SOC 3

CURRENCY:
Blocked . . . . . ECF 4

CURRENCY: (Cont'd)
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Economic aspect . . . . . ECF 1
Convertibility. Conversion . . . ECF 4
Guaranty against non-
convertibility . . . . . LGP 1
Devaluation . . . . . ECF 4
Exchange:
Employees accommodation . . . . FIS 10
Rates . . . . . ECF 4
Excess . . . . . ECF 4
Foreign:
U.S. - owned:
Accounting for . . . . . FIS (FC)
Uses (use approp. subj.) or . PRM 5
Local (see Foreign)

CURRENT ECONOMIC REPORTING
PROGRAM (CERP):
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Specific (use approp. subj.)

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Administration & control of . . . ECF 4
Clearance:
Commodities, equipment &
supplies (Agency) . . . . . PRC 2
Household/personal effects
(employee) . . . . . TRV 6
Duties . . . . . ECF 4
Religions & social . . . . . SOC 3
Unions . . . . . ECF 4

D

DAC (Development Advisory
Committee) . . . . . PRM 7

DAIRY:
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Products:
Marketing & distribution:
Processed . . . . . IND 6
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U.S. surplus (PL 480) . . . . FPC

DAMAGE:
Shipments:
Commodity . . . . . PRC 2
Employee effects . . . . . TRV 6

DAMS:
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Irrigation . . . . . AGR 9
Power . . . . . IND 9
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DATA:
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Books, economic . . . . . ECF 3
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Application to:
Agency operatons . . . . . ADM 1
Industry . . . . . IND (p.

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DECENTRALIZATION:
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DECLASSIFICATION & DECONTROL
(of classified material) . . . . ADM 9

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DEGREES, HONORARY:
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DEFORESTATION . . . . . AGR 8

DELEGATIONS OF
AUTHORITY:
General . . . . . ADM 6
Specific (use approp. subj.)

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DEMOTION . . . . . PER 9

DEOBLIGATION OF FUNDS . . . . . FIS 2

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(use approp. subj.)
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DEPENDENCY STATUS,
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DEPENDENTS (employees): (Cont'd)
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DESERTIFICATION . . . . . AGR 8

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DESIGNATION OF BENEFICIARY,
EMPLOYEE . . . . . PER 14

DESTRUCTION:
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DETAIL, EMPLOYEES . . . . . PER 9

DETERMINATIONS:
Legal . . . . . LEG 4
Policy . . . . . ADM 8
Presidential . . . . . LEG 4
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DEVALUATION, CURRENCY . . . . . ECF 4

DEVELOPMENT:
Banks (use approp. subj.) or . . LGP 2
Career . . . . . PER 13
Community . . . . . SOC 1
Curriculum . . . . . EDU 3
Grants (programming) . . . . . PRM
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Labor leadership . . . . . SOC 5
Loans . . . . . LGP 2
Mineral resources . . . . . IND 7
Nuclear energy . . . . . IND 8
Plans (cooperating countries) . . PRM 1
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DEVELOPMENT ASSISTANCE
COMMITTEE (DAC) . . . . . PRM 7

DEVELOPMENT LOAN
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DIAGNOSIS, DISEASES . . . . . HLS 2

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Adequacy . . . . . HLS 6

DIFFERENTIAL, POST
(allowance) . . . . . PER 3

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Passports . . . . . TRV 5
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DOMESTIC EXCESS PROPERTY, U.S. GOVERNMENT OWNED (Agency procurement of) . . . . PRC 9

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DROUGHT, NATURAL, MAN-MADE . . . . SOC 9
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aspect . . . . . PUB 2
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EUROPE (ECE), U.N. . . . . PRM 7

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ECONOMIC COOPERATION &
DEVELOPMENT, ORGANIZATION
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(ECOSOC), U.N. (use approp. subj.)

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Personnel matters . . . . . PER
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TECHNICIANS:
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HOLDINGS:
Foreign currency: . . . . . ECF 4
Fiscal accounting & audit of . FIS (FC)
Uses (use approp. subj.)

HOLIDAYS:
Employment aspect:
Duty Rosters . . . . . PER 1
Leave . . . . . PER 1
Pay . . . . . PER 3
Local & National:
Cultural . . . . . SOC 3
Labor standards . . . . . SOC 5

HOME ECONOMICS . . . . . AGR 5

HOME LEAVE . . . . . PER 1

HONOR AWARDS . . . . . PER 2

HONORARY AWARDS:
Agency employees (regulations
re acceptance of foreign) . . . PER 4

HORTICULTURE . . . . . AGR

HOSPITAL SHIPS:
Project Hope . . . . . HLS 4

HOSPITALITY (for participants) . . TRG 7

HOSPITALS:
Administration & operation . . . HLS 4
Construction & maintenance . . . HLS 4
Military:
Agency use . . . . . PER 11
Nursing . . . . . HLS 5

HOURS OF WORK:
Agency employees . . . . . PER 1
Industrial workers . . . . . SOC 5

HOUSE OF REPRESENTATIVES:
Agency relations with . . . . . LEG 2
Hearings:
Appropriation legislation . . . BUD 3
Authorizing legislation . . . . LEG 6

HOUSE ORGANS (issuance of) . . . . PER 8

HOUSEHOLD:
Effects (shipment of employee) . TRV 6
Furnishings: (Agency)
Accountability . . . . . GRS 2
Procurement . . . . . PRC

HOUSING:
Agency employees:
Allowances . . . . . PER 3
Housing assignment . . . . . GRS 6
Aided self-help . . . . . SOC 4
Census . . . . . SOC 4
Construction . . . . . SOC 4
Cooperatives . . . . . SOC 4
Disaster victims . . . . . SOC 6
Finance . . . . . SOC 4
Participant . . . . . TRG 9
Refugees . . . . . SOC 6
Research & development,
tech. assist . . . . . SOC 4
Technology . . . . . SCT 13

HUMAN DISEASES . . . . . HLS 2

HUMAN RIGHTS . . . . . SOC 3

HUMAN RESOURCES
(manpower) . . . . . SOC 5

HUSBANDRY, ANIMAL . . . . . AGR 10

HURRICANES (disaster) . . . . . SOC 6

HYDRAULICS . . . . . SCT 9

HYDRO-ELECTRIC POWER . . . . . IND 9

HYDRO-POWER . . . . . SCT 21

HYGIENE:
Health education in . . . . . HLS 3
Industrial . . . . . HLS 7

I

IDENTIFICATION:
Agency-financed commodities (marking requirements) . . . . PRC 6
Aircraft:
Civil . . . . . TRP 1

IDENTIFICATION CARDS (security) . . PER 17
(Agency employees)
Building protection procedures . GRS 1
Employee security aspect . . . . PER 17

ILLITERACY . . . . . EDU 1

ILLNESS:
Employees . . . . . PER 11
Participants . . . . . TRG 9

IMMUNITIES:
Employees (Agency) . . . . . PER 6

IMMUNIZATIONS:
Agency employees . . . . . PER 11
Participants . . . . . TRG 9

IMPACT OF AID ON U.S. ECONOMY:
General . . . . . ECF 4
Specific (use approp. subj.)

IMPLEMENTATION APPROVAL DOCUMENTS (IAD) . . . . . BUD 4, PRM 1, PRM 2, PRM 3

IMPLEMENTATION PLANS, PROGRAM:
Country . . . . . PRM 1
Inter-regional . . . . . PRM 2
Regional . . . . . PRM 3

IMPORTS . . . . . ECF 4

INCENTIVE AWARDS (employee) . . . . PER 2

INCENTIVES, INVESTMENT . . . . . LGP 3

INCOME TAX:
Assistance for Agency employees . PER 8
Participant exemption . . . . . TRG 9

INCONVERTIBILITY, OF CURRENCY . . . ECF 4
Risk Guaranties . . . . . LGP 1

INDEBTEDNESS, EMPLOYEES . . . . . PER 4

INDEPENDENT AUDIT . . . . . FIS 3

INDEPENDENTLY-FINANCED PARTICIPANT TRAINING . . . . . TRG 12

INDEXES (Cost of living, price, production) . . . . . ECF 3

INDISPENSABLE RECORDS, RELOCATION OF . . . . . ADM 10

INDUSTRIAL:
Accidents, Safety . . . . . SOC 5
Cooperatives . . . . . IND 2
Controls . . . . . IND 4
Development . . . . . IND
Development Banks . . . . . IND 2
Distribution & Marketing . . . . IND 6
Engineering . . . . . IND 3
Hygiene . . . . . HLS 7
Maintenance & repair . . . . . IND 12
Management:
Practices . . . . . IND 4
Relations with labor . . . . . SOC 5
Manufacturing & processing . . . IND 5
Plants & facilities . . . . . IND 5
Productivity . . . . . IND 10
Research . . . . . IND 11
Technical inquiry service . . . . IND 7
Technology . . . . . SCT 17
Wages, hours, working conditions . . . . . SOC 5

INDUSTRY: . . . . . IND
Cottage . . . . . IND 2
Effect of trade agreements on . . ECF 4

INDUSTRY: (Cont'd)
Expropriation of: . . . . . IND 4
Risk guarantees . . . . . LGP 1
Specific (use approp. subj.)
Telecommunications . . . . . IND 13
Warehousing & storage . . . . . IND 12

INFLATION:
Monetary system . . . . . ECF 1
Prices and cost of living . . . . ECF 3

INFORMATION:
Activities (general) . . . . . INF
Communications resources centers. INF 3
Exchange:
General . . . . . INF
Management . . . . . ADM 1
Media . . . . . INF 5
Psychological operations . . . . INF 6
Public relations . . . . . INF 5
Publications . . . . . INF 7
Requests for . . . . . INF 4
Systems . . . . . ADM 4
Scientific . . . . . SCT 7
Security . . . . . ADM 9
Storage & retrieval . . . . . ADM 1
Technical (approp. subj.) or . . SCT 7

INJURY:
Agency employees . . . . . PER 11
Industrial workers . . . . . SOC 5

INLAND TRANSPORTATION:
Air . . . . . TRP 1
Highway . . . . . TRP 2
Railway . . . . . TRP 5
Waterway . . . . . TRP 3

INNER SIX (European Economic
Community) . . . . . ECF 4

INNOCULATIONS (Agency employees) . PER 11

INQUIRIES:
Congressional . . . . . LEG 2
Credit (employee) . . . . . PER 8

INQUIRIES: (Cont'd)
General Accounting Office . . . . FIS 3
Public (routine) . . . . . INF 4

INSECT CONTROL:
Animal . . . . . AGR 10
Crop . . . . . AGR 4
Sanitation aspect . . . . . HLS 7

IN-SERVICE TRAINING,
EMPLOYEES . . . . . PER 13

INSPECTION (use approp. subj.)
Administrative (general) . . . . ADM 7
Commodities:
Arrival . . . . . PRC 2
Pre-shipment . . . . . PRC 2
Internal audit (financial) . . . FIS 3
Management . . . . . FIS 3
Sanitation . . . . . HLS 7
Security:
Personnel . . . . . PER 17
Physical:
Building. Restricted areas . GRS 1
Equipment & supplies . . . . ADM 10

INSTITUTES, INSTITUTIONS
(use approp. subj.)
Educational . . . . . EDU 2
Foreign Service Institute
(employee training in) . . . . PER 13
Intermediate credit (partici-
pating in Agency loans) . . . . LGP 2

INSTITUTION BUILDING (TITLE IX) . . PRM 6

INSUBORDINATION,
EMPLOYEES . . . . . PER 4

INSURANCE:
Agency employees:
Hospitalization & medical . . . PER 12
Household/personal effects . . TRV 6
Life . . . . . PER 12
Payroll deductions . . . . . FIS 12
Travel (emergency) . . . . . PER 12

INSURANCE: (Cont'd)
Unemployment . . . . . PER 12
As business . . . . . IND 12
Marine (on Agency-financed commodities) . . . . . PRC 5
Mortgage . . . . . SOC 4
Social programs . . . . . SOC 5
Vehicles, Agency-owned . . . . . GRS 2

INTEGRATION:
Of AID/State functions . . . . . ADM 6
Economic . . . . . ECF 4
Racial . . . . . SOC 3

INTERAGENCY:
Agreements . . . . . LEG 1
Relations . . . . . ADM 6

INTERAGENCY BOARDS, COMMITTEES, etc. (use approp. subj.)

INTER-AMERICAN DEVELOPMENT BANK:
Agency loan participation . . . . . LGP 2
Non-Agency loans . . . . . LGP 2

INTER-AMERICAN ECONOMIC & SOCIAL COUNCIL . . . . . PRM 7

INTEREST:
Bank . . . . . ECF 1
Conflict of (employees) . . . . . PER 4

INTERIM:
Funding (under Continuing Resolution) . . . . . BUD 5

INTERMEDIATE CREDIT INSTITUTIONS (participating in Agency loans) . LGP 2

INTERN PROGRAM (employees) . . . . PER 13

INTERNAL:
Audit . . . . . FIS 3

INTERNATIONAL:
Agreements (use approp. subj.)
Banks & financial institutions (general) . . . . . PRM 7
Non-Agency loans . . . . . LGP 2
Participating in Agency loans . . . . . LGP 2
Organizations (use approp. subj.)
Assistance programs . . . . . PRM 7
Reserves . . . . . ECF 4
Trade . . . . . ECF 4

INTERNATIONAL ATOMIC ENERGY AGENCY (IAEA):
General . . . . . IND 8
Specific (use approp. subj.)

INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT (IBRD):
General . . . . . PRM 7
Non-Agency loans . . . . . LGP 2
Participation in Agency loans . . LGP 2

INTERNATIONAL CHILDRENS EMERGENCY FUND (UNICEF) . . . . . PRM 7

INTERNATIONAL DEVELOPMENT ASSOCIATION (IDA):
General . . . . . PRM 7
Non-Agency loans . . . . . LGP 2
Participation in Agency loans . . . . . LGP 2

INTERNATIONAL EXECUTIVE SERVICE CORPS . . . . . LGP 3

INTERNATIONAL FINANCE CORPORATION (IFC):
General . . . . . PRM 7
Non-Agency loans . . . . . LGP 2
Participation in Agency loans . . . . . LGP 2

INTERNATIONAL LABOR ORGANIZATION (ILO) . . . . . SOC 5

INTERNATIONAL MONETARY FUND
(IMF) . . . . . ECF 4

INTERNATIONAL RED CROSS:
(use approp. subj.)
Disaster relief:
Non-Agency . . . . . SOC 6
Food for Peace Program
(PL 480) . . . . . FPC 2, 6

INTERNATIONAL TELECOMMUNICATIONS
UNION (ITU) . . . . . IND 13

INTERNATIONAL TRADE
ORGANIZATION . . . . . ECF 4

INTERNS:
Government trainees . . . . . PER 13
Medical . . . . . HLS 1

INTERPRETING SERVICE,
PARTICIPANT . . . . . TRG 9

INTER-REGIONAL PROGRAMS . . . . . PRM 2

INTERVIEWS:
Applicants for employment . . . . PER 9
Employee-management . . . . . PER 7
Participant exit . . . . . TRG 8
Press . . . . . INF 5

INVENTIONS
(use approp. subj.)
Patents . . . . . LEG 10

INVENTORY:
Agency equipment & supplies . . . GRS 2
Records . . . . . ADM 8

INVESTIGATION:
(use approp. subj.)
Agency personnel (security) . . . PER 17
Congressional . . . . . LEG 2
End-use observations . . . . . FIS 3

INVESTMENT:
Climate . . . . . LGP 3
Feasibility studies . . . . . LGP 3
Guarantees . . . . . LGP 1
Accounting . . . . . FIS 14
Agreements . . . . . LGP 1
Application . . . . . LGP 1
Claims . . . . . FIS 7
Contracts . . . . . LGP 1
Incentives . . . . . LGP 3
Opportunities . . . . . LGP 3
Surveys . . . . . LGP 3

INVESTORS . . . . . LGP 3

INVITATIONS:
To bid . . . . . PRC 3
To speak . . . . . INF 9

IRRADIATION:
As food preservative . . . . . IND 5
Health:
Hazard . . . . . HLS 2
Treatment of diseases . . . . . HLS 2
Medical research . . . . . HLS 8
Seed & plant improvement . . . . AGR 4

IRRIGATION . . . . . AGR 9

ISOTOPES:
Development . . . . . IND 8
Medical use:
Research . . . . . HLS 8
Treatment of diseases . . . . HLS 2

ISSUANCE, CURRENCY . . . . . ECF 1

ISSUANCE SYSTEM, DIRECTIVES . . . . ADM 8

ITINERARIES:
Agency-financed travelers . . . . TRV 7
Participants . . . . . TRG 9

J

JANAP (Joint Army, Navy, Air/Force
  Program) (telecom) . . . . . ADM 8

JANITORIAL SERVICE . . . . . GRS 1

JOB:
  Descriptions . . . . . PER 15
  Retention . . . . . PER 9
  Series & standards . . . . . PER 15

JOINT ADMINISTRATIVE OFFICES (JAO). ADM 6

JOINT FUNDS:
  Audit . . . . . FIS 3
  Organization and functions . . . ADM 6

JOINT STATE/A.I.D./USIA TASK FORCE
  ON UNIFORM REGULATIONS . . . . . ADM 6

JURY DUTY (absence for) . . . . . PER 1

K

KENNEDY MEMORIAL LIBRARY
  (records for) . . . . . ADM 8

L

LABELLING COMMODITIES . . . . . PRC 6

LAND CAPABILITY . . . . . AGR 8

LABOR . . . . . SOC 5
  Accidents, Safety . . . . . SOC 5
  Child . . . . . SOC 5
  Cooperatives . . . . . SOC 5
  Disputes . . . . . SOC 5
  Employment & unemployment . . . . SOC 5
  Insurance programs . . . . . SOC 5
  Leadership development . . . . . SOC 5
  Management relations . . . . . SOC 5
  Organizations . . . . . SOC 5
  Standards . . . . . SOC 5
  Statistics . . . . . SOC 5
  Training courses for
    participants . . . . . TRG 4
  Unions. Organizations . . . . . SOC 5
    Federal employees . . . . . PER 7

LABOR ORGANIZATION, INTERNATIONAL
  (ILO) . . . . . SOC 5

LABORATORIES, RESEARCH:
  (use approp. subj.)
  Atomic Energy . . . . . IND 8
  Agriculture . . . . . AGR 11
  Industry . . . . . IND 11
  Medical . . . . . HLS 2,
                 4, 8

LAKES:
  Inland waterways . . . . . TRP 3

LAND:
  Conservation (soil) . . . . . AGR 9
  Development . . . . . AGR 9
  Distribution . . . . . AGR 9
  Drainage . . . . . AGR 9
  Irrigation . . . . . AGR 9
  Reclamation . . . . . AGR 9
  Reform . . . . . AGR 9
  Settlement . . . . . AGR 9
  Tenure . . . . . AGR 9
  Use, urban . . . . . SOC 4

LANDING:
  Aids (air):
    Commerical & private . . . . . TRP 1
  Fields (air):
    Commerical & private . . . . . TRP 1

LANGUAGE:
  Requirements:
    Employees . . . . . PER 15
    Participants . . . . . TRG 11
  Training & testing:
    Employees . . . . . PER 13
    Participants . . . . . TRG 11

LATIN AMERICAN FREE TRADE
  AREA FOR SOUTH AMERICA
  (LATFSA) . . . . . ECF 4

LEASES . . . . . GRS 6

LEAVE OF ABSENCE (employee) . . . . PER 1

LEDGER:
  Allotment . . . . . FIS 2
  Disbursement . . . . . FIS 10
  General . . . . . FIS 11

LEGAL:
  Affairs (general) . . . . . LEG
  Decisions . . . . . LEG 7
  Determinations . . . . . LEG 4
  Opinions . . . . . LEG 7
  Reserve requirements of private
    banks . . . . . ECF 1
  Seals . . . . . LEG 8

LEGISLATION:
  Agency:
    Congressional presentation . . BUD 3
    Appropriation bill . . . . . BUD 3
    Authorization bill . . . . . LEG 6
  Other U.S. . . . . LEG 9

LEGISLATIVE:
  Affairs (Agency) . . . . . LEG
  Program (Agency) . . . . . LEG 6

LENGTH OF SERVICE AWARDS
(employees) . . . . . PER 2

LETTERS:
Advice of Loan Approval . . . . . LGP (B)
Of commitment financing . . . . . FIS 4
Form & guide . . . . . ADM 8
Preparation of . . . . . ADM 8

LIABILITIES, ACCRUED . . . . . FIS 1

LIAISON: (use approp. subj.)
Congressional . . . . . LEG 2
With other Federal agencies . . . ADM 6
Press, radio & television . . . . INF 5

LIBRARY OPERATION:
Agency . . . . . GRS 3
Cooperating Country . . . . . EDU 7

LICENSES:
Aircraft:
Civilian . . . . . TRP 1
Drivers:
Agency chauffeurs . . . . . GRS 4
Agency overseas personnel . . . PER 8
Participants . . . . . TRG 9
Export-import . . . . . ECF 4

LIFE:
Insurance (employee) . . . . . PER 12
Mode of (social customs) . . . . SOC 3

LIQUIDATED OBLIGATIONS . . . . . FIS 2

LIQUIDATION OF MISSIONS . . . . . ADM 6

LIST, LISTS:
Export control (EXCON) . . . . . ECF 4
Federal statisticians . . . . . PER 8
Mailing . . . . . GRS 5
Procurement agents . . . . . PRC 1
Trade . . . . . ECF 4

LITERACY PROGRAMS . . . . . EDU 1

LIVESTOCK & POULTRY . . . . . AGR 10

LIVING:
Cost of: . . . . . ECF 3
Allowances (FS personnel) . . . PER 3
Standard of . . . . . ECF 3

LOAN, LOANS:
Accounting . . . . . FIS 14
Agreements . . . . . LGP 2
Terms & conditions . . . . . LGP 20
Agriculture credit . . . . . AGR 3
Application, proposal & authorization . . . . . LGP 2
Bank . . . . . ECF 1
Consortia . . . . . LGP 2
Cooley (PL 480, Sec. 104e) . . . LGP 2
Eligibility criteria . . . . . LGP 2
Financial institutions participating in Agency loan transactions . . . . . LGP 2
Municipal . . . . . LGP 2
Non-Agency . . . . . LGP 2
Untying procurement sources restrictions . . . . . PRC 2

LOCAL:
Currency: (see Foreign currency)
Transactions of employees . . . PER 4
Employees, FS . . . . . PER (LOC)
Local transportation . . . . . TRV 3
Motor pool service . . . . . GRS 4

LOCATOR SERVICES:
(Agency personnel) . . . . . PER 8

LOCKOUTS (labor) . . . . . SOC 5

LOCUST CONTROL . . . . . AGR 4

LODGING ALLOWANCE (temporary) . . . PER 3

LOGS:
Classified document control . . . ADM 9
Mail control (general) . . . . . ADM 8

M

LONG-RANGE ASSISTANCE STRATEGY (LAS):
- Country . . . . . PRM 1
- Inter-regional . . . . . PRM 2
- Regional . . . . . PRM 3

LONG-TERM DOLLAR CREDIT SALES (PL 480, Title IV) . . . . . FPC 5

LONG-TERM SUPPLY CONTRACTS (PL 480, Title IV) . . . . . FPC 5

LORAN: (radio navigational aid)
- Use in:
  - Civil aviation . . . . . TRP 1
  - Inland waterway transportation . . . . . TRP 6
  - Merchant shipping . . . . . TRP 6

LOSS OF AGENCY EQUIPMENT & SUPPLIES . . . . . GRS 2

LUNCH PROGRAM, SCHOOL (PL 480) . . FPC 2, 6

LWOP LEAVE . . . . . PER 1

MACHINERY:
- Agency:
  - Accountability . . . . . GRS 2
  - Procurement . . . . . PRC
  - Use of automated & mechanized . . . . . ADM 1, 8
- Production . . . . . IND 5

MAIL MANAGEMENT . . . . . ADM 8

MAILING LISTS . . . . . GRS 5

MAINTENANCE:
- Agency:
  - Building . . . . . GRS 1
  - Equipment & supplies (general) . . . . . GRS 2
  - Motor vehicles . . . . . GRS 4
  - Records . . . . . ADM 8
- Allowance, participants . . . . . TRG 1
- Hospital . . . . . HLS 4
- Industries . . . . . IND 12
- Transportation equipment & facilities:
  - Aircraft:
    - Civilian . . . . . TRP 1
  - Airports & landing fields:
    - Civilian . . . . . TRP 1
  - Ports & harbors . . . . . TRP 4
- Railroads . . . . . TRP 5
- Vessels:
  - Merchant . . . . . TRP 6

MALARIA . . . . . HLS 2

MALNUTRITION . . . . . HLS 6

MANAGEMENT:
- Agency: . . . . . ADM
  - Correspondence . . . . . ADM 8
  - Directives . . . . . ADM 8
  - Equipment paperwork . . . . . ADM 8
  - Files . . . . . ADM 8
  - Forms . . . . . ADM 8
  - Improvement & cost reduction . . . . . ADM 1

MANAGEMENT: (Cont'd)
Inspection . . . . . FIS 3
Mail . . . . . ADM 8
Paperwork (general) . . . . . ADM 8
Reports . . . . . ADM 8
Farm . . . . . AGR 2
Industrial . . . . . IND 4
Paperwork (public adm. aspect) . . . . . PUB 1
Range . . . . . AGR 9

MANDATORY RETIREMENT . . . . . PER 16

MANNERS & CUSTOMS . . . . . SOC 3

MANPOWER:
Agency:
Authorized staffing levels . . . . . PER 19
Authorization of ceilings . . . . . BUD 5
General . . . . . SOC 5

MANUALS: (use approp. subj.)
Directives system . . . . . ADM 8

MANUFACTURERS, MANUFACTURING . . . . . IND 5

MAPS, MAPPING:
Cartography & related surveying . . . . . IND 1

MARINE CORPS:
As building guards . . . . . GRS 1

MARINE INSURANCE (on Agency-financed procurement). PRC 5

MARINE SCIENCE . . . . . SCT 10

MARITIME FACILITIES & OPERATIONS . . . . . TRP

MARKETING & DISTRIBUTION:
Agricultural products:
Processed . . . . . IND 6
Unprocessed . . . . . AGR 2
Industrial products . . . . . IND 6

MARKET:
Black:
Agency employee transaction . . PER 4
Currency . . . . . ECF 4
Operational (general) . . . . . ECF 3
Common . . . . . ECF 4
Research & promotion . . . . . IND 6
Survey . . . . . IND 6

MARKING:
Emblems (design & use of) . . . . INF 1
Requirements (Agency-financed commodities) . . . . . PRC 6

MARRIAGE, AGENCY EMPLOYEES . . . . PER 14

MASS COMMUNICATIONS . . . . . INF

MATERIAL (use approp. subj.)

MATERNAL & CHILD:
Care . . . . . SOC 6
Health . . . . . HLS 5

MEASURES (use approp. subj.)

MEAT PROCESSING . . . . . IND 5

MECHANIZATION:
Agency processes (general) . . . ADM 1
Agricultural . . . . . AGR 6
Industrial . . . . . IND
Effect on labor . . . . . SOC 5

MEDIATION, LABOR DISPUTES . . . . . SOC 5

MEDICAL:
Banks (blood, bone, eye, etc.) . HLS 2
Care:
Agency employees . . . . . PER 11

MEDICAL: (Cont'd)
Country programs . . . . . HLS
Participants . . . . . TRG 9
Education & training . . . . . HLS 1
Examinations:
Agency employees & dependents . . . . . PER 11
Participants . . . . . TRG 11
Facilities:
(hospitals, clinics, etc.)
Agency employees . . . . . PER 11
Public and private . . . . . HLS 4
Insurance:
Agency employees . . . . . PER 12
Participants . . . . . TRG 9
Social programs . . . . . SOC 5
Research . . . . . HLS 8
Retirement (employees) . . . . . PER 16
Schools . . . . . HLS 1
Treatment:
Agency employees . . . . . PER 11
Livestock . . . . . AGR 10
Public & private . . . . . HLS 2

MEDICINE:
Manufacture . . . . . IND 5
Procurement . . . . . PRC
Treatment of diseases . . . . . HLS 2

MEDICO . . . . . HLS 4

MEETINGS (general) . . . . . OCM
Executive Officer . . . . . ADM 3
Staff . . . . . ADM 3
Other (use approp. subj.)

MEMBERSHIP (use approp. subj. for int'l. org., conf., etc.)

MERCHANT SHIPS, VESSELS:
Attacks on:
Operations . . . . . TRP 6
Transportation of Agency financed commodities . . . . PRC 7

MERITORIOUS SERVICE CITATION . . . PER 2

MESSENGER SYSTEM . . . . . ADM 8

METALS:
Fabrication . . . . . IND 5
Mining, refining & smelting . . . . . IND 7

METEOROLOGICAL NAVIGATION SERVICES:
Aerial . . . . . TRP 1
Marine . . . . . TRP 6

MICROFILMING:
As information storage & retrieval technique . . . . . ADM 1
Equipment:
Management control of . . . . . ADM 8
Procurement . . . . . PRC
Of Agency records . . . . . ADM 8

MIDWIFERY . . . . . HLS 5

MIGRANT, REFUGEE
Relief:
Food for Peace Program (PL 480) . . . . . FPC 2, 6
Other services . . . . . SOC 6

MIGRATION . . . . . SOC 4

MILEAGE RATES . . . . . TRV 1

MILITARY:
Leave (Agency employee) . . . . . PER 1
Offset program . . . . . ECF 4
Postal service (Agency use of APO, FPO) . . . . . ADM 8
Service
Reduction in force (RIF) . . . PER 9
Retirement . . . . . PER 16
Salary step increases . . . . PER 3

MILLS (manufacturing) . . . . . IND 5

MINERALS:
Explorations, development & mining . . . . . IND 7
Fabrication & manufacture . . . . IND 5

MINIMUM WAGES . . . . . SOC 5

MINING . . . . . IND 7

MINISTERS:
Of religion . . . . . SOC 3

MINTING (of money) . . . . . ECF 1

MINUTES OF UNDERSTANDING
(agreements) . . . . . LEG 1

MISSION: (Agency)
Aircraft . . . . . GRS 2
Director conferences . . . . . ADM 3
Emergency evacuation . . . . . ADM 10
Functions . . . . . ADM 6
Housing assignment . . . . . GRS 6
Opening & closing . . . . . ADM 6
Organization . . . . . ADM 6
Staffing:
Authorization of levels
Ceilings . . . . . BUD 5
Patterns. Rosters . . . . . PER 19
Telephone & radio facilities . . GRS 1

MOBILE:
Audio-visual units . . . . . INF 1
Health units . . . . . HLS 4
Libraries . . . . . EDU 7

MOBILIZATION OF:
Industry . . . . . IND
Labor & manpower . . . . . SOC 5

MODE OF LIFE (social customs) . . . SOC 3

MONEY:
Counterfeiting . . . . . ECF 1
As foreign exchange . . . . . ECF 4
Monetary systems . . . . . ECF 1

MONOPOLIES . . . . . IND 4

MONTHLY ACCOUNTS CURRENT . . . . . FIS 1

MORTGAGE INSURANCE . . . . . SOC 4

MOTION PICTURES:
Audio-visual aids . . . . . IND 1
Employee:
Recreation . . . . . PER 8
Training, Orientation . . . . . PER 13
As teaching method . . . . . EDU 11

MOTOR POOL . . . . . GRS 4

MOTOR VEHICLES:
Agency . . . . . GRS 4
Accidents . . . . . GRS 4
Accountability . . . . . GRS 2
Despatching & scheduling . . . GRS 4
Maintenance . . . . . GRS 4
Procurement . . . . . PRC
Use of . . . . . GRS 4
Agency employee:
Sale or barter overseas . . . . PER 4
Shipment of . . . . . TRV 6
As highway transportation . . . . TRP 2

MOVEMENT OF:
Capital . . . . . ECF 4
Population . . . . . ECF 3
Refugees . . . . . SOC 6
Vessels:
Merchant . . . . . TRP 6

MOVES, OFFICE . . . . . GRS 6

MULTILATERAL:
Agreements (use approp. subj.)
Foreign assistance . . . . . PRM 7

MUNICIPAL:
Loans . . . . . LGP 2
Planning . . . . . SOC 4
Water systems . . . . . HLS 7

N

NARCOTICS:
Manufacture of . . . . . IND 5
Medicinal use . . . . . HLS 2

NATIONAL:
Accounts . . . . . ECF 3
Budget . . . . . ECF 2
Debt . . . . . ECF 2
Emergency:
Travel control during . . . . . TRV 5
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NATIONALIZATION (of industry) . . . IND 4

NATIONALS:
As exchange grantees and visitors . . . . . PRM 7
As local Agency employees . . . . PER (LOC)
As participants . . . . . TRG

NATURAL RESOURCES
(use approp. subj.) or . . . . . SCT 9

NAVIGATION:
Civilian:
Aircraft . . . . . TRP 1
Vessels:
Inland waterways . . . . . TRP 3
Oceangoing . . . . . TRP 6

NAVIGATIONAL:
Aids (radio):
Use in:
Civil aviation . . . . . TRP 1
Inland transportation . . . . TRP 3
Merchant shipping . . . . . TRP 6

NEGOTIATION OF:
Agreements (use approp. subj.)
Contracts . . . . . PRC 3
Loans . . . . . LGP 2

NET NATIONAL PRODUCT . . . . . ECF 3

NETWORKS:
Highway . . . . . TRP 2
Telecommunications . . . . . IND 13

NEWSLETTERS (internal issuance) . . . . . PER 8

NEWS MEDIA . . . . . INF 5

NEWSPAPERS (see PRESS)

NEXT-OF-KIN INFORMATION
(employee) . . . . . PER 8

NOMINATIONS, EMPLOYMENT . . . . . PER 9

NONCONVERTIBILITY OF CURRENCIES:
Investment guarantees against . . LGP 1
Trade barriers . . . . . ECF 4

NONPROJECT ASSISTANCE
(commodity) . . . . . PRM 5
Commodity procurement . . . . . PRC

NOTE ISSUING AUTHORITY
(investment guarantee) . . . . . LGP 10

NOTICES:
Agency issuances . . . . . ADM 8
Of exception (GAO) . . . . . FIS 3
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NUCLEAR:
Energy:
Peaceful uses:
General research and development . . . . . IND 8
Specific applications (use approp. subj.)
Agricultural . . . . . AGR 4
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Research . . . . . HLS 8
Treatment of diseases . . . HLS 2
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NUMBER SERIES
(of field communications) . . . . ADM 8

NUTRITION
Anemia . . . . . HLS 6
Anthropology . . . . . HLS 6
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OATHS (administration of)
To Agency employees . . . . . PER 9

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OCEANOGRAPHY . . . . . SCT 9, SCT 10

OCCUPATIONAL:
Codes (govt. personnel) . . . . . PER 15
Deferment under selective service
systems (of Agency employees) . PER 9

OFFICE:
Establishment, reorg. etc. . . . ADM 6
Furniture, equipment & supplies:
Accountability . . . . . GRS 2
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Hours . . . . . PER 1
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OFFICE OF ECONOMIC COOPERATION
AND DEVELOPMENT (OECD) . . . . . PRM 7

OFFICE OF MANAGEMENT AND
BUDGET . . . . . BUD 2

OFFICERS:
Certifying . . . . . FIS 3
Disbursing . . . . . FIS 10

OFFICIAL PASSPORTS . . . . . TRV 5

OFFSHORE PROCUREMENT:
Agency . . . . . PRC 2

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& refining) . . . . . IND 7

OLD AGE INSURANCE . . . . . SOC 5

ON-THE-JOB TRAINING:
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Labor union programs
(apprenticeships) . . . . . SOC 5
Participant facilities . . . . . TRG 7

OPENING AGENCY OFFICES
& MISSIONS . . . . . ADM 6

OPENING, BIDS . . . . . PRC 3

OPERATING YEAR BUDGET (OYB) . . . . BUD 5

OPERATIONS (admin. & program)
(use approp. subj.)

OPERATORS' PERMITS
(for Agency vehicles) . . . . . GRS 4

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Purchase . . . . . PRC C, 1
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Charts . . . . . ADM 6
Consolidated Administrative
Management Operation (CAMO) . . ADM 6
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ORGANIZATION FOR ECONOMIC
COOPERATION & DEVELOPMENT
(OECD):
Assistance to less developed
countries . . . . . PRM 7
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countries . . . . . ECF 4

ORGANIZATIONS (use approp.
subj.) or . . . . . OCM

ORIENTATION:
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ORPHANS:
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Food for Peace (PL 480): . . . FPC 2, 6
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Non-military . . . . . TRP 1

OVERPOPULATION . . . . . ECF 3
Birth control measures . . . . . HLS 9

OVERTIME:
Authorization . . . . . PER 1
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Of automobiles by
participants . . . . . TRG 9
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OYB (Operating Year Budget) . . . . BUD 5

P

PACKING:
  Employee household & personal
    effects . . . . . TRV 6
  Lists (Agency procurement
    documentation) . . . . . PRC 4

PACTS (treaties)
  (use approp. subj.)

PAN AMERICAN HIGHWAY
  CONGRESS . . . . . TRP 2

PAN AMERICAN SANITARY
  ORGANIZATION (PASO) . . . . . HLS 7

PAPERWORK MANAGEMENT:
  Agency (general) . . . . . ADM 8
  (For specific programs, use
    approp. subj.)
  Public administration aspects . . PUB 1

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PARKING SPACE (government) . . . . GRS 6

PARTICIPANT TRAINING . . . . . TRG

PARTICIPATING AGENCY:
  Agreements . . . . . LEG 1
  Allocations . . . . . BUD 5
  Notices . . . . . ADM 8
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PASA (Participating Agency
  Service Agreements) . . . . . LEG 1

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  Conference, dining rooms, etc. . GRS 6
  Personnel security
    identification . . . . . PER 17

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  Agency employees &
    Congressional travelers . . . . TRV 5
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  Agency contractor inventions . . PRC 3
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  Fiscal aspects:
    Payroll . . . . . FIS 12
  Personnel aspect:
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  (disbursing) . . . . . FIS 10

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    (PL 480) . . . . . FPC 2

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  Cash:
    Agency:
      Collections . . . . . FIS 5
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  Disturbances of the:
    Racial riots . . . . . SOC 3

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PEACEFUL USES OF ATOMIC ENERGY:
  Agricultural . . . . . AGR 4
  Industrial development
    and research . . . . . IND 8
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                                8, 4
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  Agency employees . . . . . PER 16

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PER DIEM ALLOWANCE:
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PERMITS:
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PERSONAL:
Effects (agency employees):
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Sale or barter overseas . . . . PER 4
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Patterns, Rosters . . . . . PER 19
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Suggestions . . . . . PER 2
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PERSONS:
Displaced:
Refugees and migrants
(as social problem) . . . . . SOC 6
Prominent (biodata on):
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Review Technique) . . . . . PRM 4

PESTS, PEST CONTROL:
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PETROLEUM (exploration,
extraction, refining) . . . . . IND 7

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PHOTOGRAPHY:
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Civilian . . . . . IND 1
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(agency) . . . . . GRS 5

PHOTOVOLTAIC TECHNOLOGY . . . . . SCT 21

PICKETING:
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PIPELINES:
Funds obligated, but not
expended . . . . . FIS 2
Natural gas and petroleum . . . . IND 7

PL 480 PROGRAM (see surplus
agric. commodities) . . . . . FPC

PLANS, PLANNING (use approp. subj.)

PLANTING STOCK . . . . . AGR 4

PLANTS:
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POLICE:
In other facilities . . . . . TRG
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POLITICAL:
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Agency Commodities . . . . . PRC 2
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Charges, Agency Commodities . . . PRC 2
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POSITION:
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supporting papers . . . . . PER
Other copies (treat as
library material)

POTABLE WATER SUPPLY . . . . . HLS 7

POUCH & COURIER SERVICE:
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Consumption
(as economic indicator) . . . . ECF 3

PRELIMINARY BUDGET ESTIMATES . . . BUD 1

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Clippings:
General . . . . . INF 5
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PREVENTION:
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As an industry . . . . . IND 12

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PRIVILEGE:
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(PX) . . . . . PER 8

PRIVILEGES & IMMUNITIES:
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PROCEDURES (use approp. subj.)

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Procedures . . . . . PRC 3
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PRODUCTION:
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& gas . . . . . IND 7

PRODUCT, GROSS NATIONAL . . . . . ECF 3

PROFESSIONAL EDUCATION
& SCHOOLS . . . . . EDU 8

PROFIT SHARING (industry) . . . . . IND 4

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Agency: (general) . . . . . PRM
Approval . . . . . BUD 4
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On recipient countries . . . PRM 4
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General . . . . . ECF 3
Specific (use approp. subj.)

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PROJECT(S):
Implementation:
Document procedures:
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PROMINENT PERSONS:
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PROMOTION:
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PROPAGATION, SEED . . . . . AGR 4

PROPERTY:
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Equipment & supplies . . . . . GRS 2
Real . . . . . GRS 6
Donated, privately . . . . . PRC 10
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Agency . . . . . GRS 2
Procurement of by Agency . . . PRC 9
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PROPERTY: (Cont'd)
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PROPOSALS (use approp. subj.)

PROPRIETARY PROCUREMENT . . . . . PRC 3

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For participants . . . . . TRG 4
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PROTOCOLS (treaties) (use approp. subj.)

PSYCHOLOGICAL OPERATIONS . . . . . INF 6

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Inquiries . . . . . INF 4
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PUBLIC: (Cont'd)
Works:
Agency programs (use
approp. subj.) or . . . . . IND 3

PUBLICATIONS:
Agency:
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& subs.) . . . . . PRC
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General & comprehensive . . . INF 7
Specific (use approp. subj.)
Reproduction & distribution . GRS 5
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subj.) . . . . . INF 7
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PURCHASES (See PROCUREMENT)

PX (Post Exchange):
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QUALIFICATIONS, PERSONNEL: . . . . PER 15
Examinations:
Civil Service, Language, etc. . PER 9
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Of animals . . . . . AGR 10
Of persons . . . . . HLS 2
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QUARTERS:
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Maintenance & repair . . . . . GRS 1

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RACE RELATIONS:
Agency fair employment practices:
Contracts (Agency-financed) . . PRC 3
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Social aspect . . . . . SOC 3

RADAR (see NAVIGATIONAL AIDS)

RADIATION:
General . . . . . IND 8
As a health hazard (atomic fallout, x-ray, etc.) . . . . . HLS 2
Irradiation of food (as a preservative) . . . . . IND 5
Medical applications . . . . . HLS 2, 8
Seed and crop improvement . . . . AGR 4

RADIO:
Agency use:
Audio-visual programs:
General . . . . . INF 5
Specific (use approp. subj.)
Communications systems . . . . GRS 1
in public relations . . . . . INF 5
Commercial . . . . . IND 13
As teaching method . . . . . EDU 11
Navigational systems & aids (see NAVIGATIONAL AIDS)
Propaganda. Psychological Warfare . . . . . INF 6

RADIO FREE EUROPE (RFE) . . . . . INF 6

RADIOACTIVE:
Fallout (as health hazard) . . . HLS 2
Waste disposal problem . . . . . IND 8

RADIOLOGY:
Medical aspect . . . . . HLS 2, 8
Scientific research . . . . . IND 8

RAILROADS, RAILWAYS:
Agency-financed use of:
Shipments . . . . . PRC 7
Travel . . . . . TRV 3
Systems . . . . . TRP 5

RAINFALL . . . . . SCT 9

RAINMAKING . . . . . SCT 9

RANGE MANAGEMENT . . . . . AGR 9

RANK:
Of Agency employees . . . . . PER 6

RATES:
Exchange (foreign currency) . . . ECF 4
Per diem & mileage . . . . . TRV 1
Wage:
Agency employees . . . . . PER 3
Labor standards . . . . . SOC 5

RATINGS, PERFORMANCE . . . . . PER 10
Evaluation panel . . . . . PER 10

REACTORS:
Development of . . . . . IND 8
Peaceful uses (use approp. subj.)
As power source . . . . . IND 9

REAL PROPERTY, ACCOUNTABILITY . . . GRS 6

REALLOTMENT (of funds) . . . . . BUD 5

REAPPORTIONMENT (of funds) . . . . BUD 5

REASSIGNMENT, EMPLOYEES . . . . . PER 9

RECEIPTS:
Classified material . . . . . ADM 9
Disbursements . . . . . FIS 10

RECEPTION, PARTICIPANT . . . . . TRG 9

RECESSION, ECONOMIC . . . . . ECF 3

RECIPROCAL TRADE . . . . . ECF 4

RECLAMATION, LAND . . . . . AGR 9

RECONSTRUCTION & DEVELOPMENT,
INTERNATIONAL BANK FOR (IBRD):
Non-Agency loans . . . . . LGP 2
Participation in Agency loan
programs . . . . . LGP 2

RECORD OF DECISIONS . . . . . ADM 8

RECORDS:
Access to . . . . . ADM 9
Disposition . . . . . ADM 8
Emergency evacuation
(E & E) . . . . . ADM 10
Indispensable, relocation
of . . . . . ADM 10
Management:
Agency . . . . . ADM 8
Public Administration
aspect . . . . . PUB 1
Vital . . . . . ADM 10

RECREATION (Agency employees) . . . PER 8

RECRUITMENT:
Agency personnel . . . . . PER 9

RECUPERATION
(see REST & RECUPERATION)

RED CROSS, INTERNATIONAL:
Disaster & emergency relief
(Non-Agency) . . . . . SOC 6
Participation in Food for
Peace (PL 480) programs . . . . FPC 2, 6

REDUCTION-IN-FORCE
(personnel) . . . . . PER 9

REEMPLOYMENT . . . . . PER 9

REFINERIES, REFINING . . . . . IND 7

REFORESTATION . . . . . AGR 8

REFORM:
Land . . . . . AGR 9

REFUGEES:
Relief:
Agency programs:
Food for Peace
(PL 480) . . . . . FPC 2, 6
Other Agency programs . . . . SOC 6
Non-Agency programs . . . . . PRM 7

REFUNDS . . . . . FIS 5, 12

REGIONAL:
Data books . . . . . ECF 3
Economic integration . . . . . ECF 4
Programs . . . . . PRM 3
Supply centers . . . . . PRC 2

REGIONAL TECHNICAL AIDS
CENTERS (RTAC) . . . . . INF 10

REGISTRATION:
Motor vehicles (Agency) . . . . . GRS 4
Voluntary agencies . . . . . FPC 6

REGULATION I . . . . . PRC

REGULATIONS (use approp. subj.)

REHABILITATION:
Refugees . . . . . SOC 6
Vocational . . . . . SOC 6

REIMBURSABLE DETAILS,
EMPLOYEES . . . . . PER 9

REINSTATEMENT, EMPLOYEES . . . . . PER 9

RELATIONS (use approp. subj.)
With other Federal Agencies . . . ADM 6

RELEASE, PRESS . . . . . INF 5

RELIEF, DISASTER
Food for Peace program
(PL 480) . . . . . FPC 2, 6
General . . . . . SOC 6
Non-Agency assistance . . . . . PRM 7

RELIGION . . . . . SOC 3

RELIGIOUS:
Discrimination. Freedom . . . . SOC 3

RELOCATION, EMERGENCY . . . . . ADM 10

REMOTE SENSING TECHNOLOGY . . . . . SCT 18

RENEWABLE ENERGY . . . . . SCT 21

RE-OBLIGATION, FUNDS . . . . . FIS 2

REORGANIZATION OF:
Agency . . . . . ADM 6
Other Federal agencies . . . . . ADM 6

REPAIR INDUSTRIES . . . . . IND 12

REPAIRS TO:
Aircraft (civil) . . . . . TRP 1
Buildings (Agency) . . . . . GRS 1
Equipment (Agency) . . . . . GRS 2
Motor transport equipment . . . . TRP 2
Railway equipment . . . . . TRP 5
Vehicles (Agency) . . . . . GRS 4
Vesssels (merchant) . . . . . TRP 6

REPORTING REQUIREMENTS
(general) . . . . . ADM 8
Specific (use approp. subj.)

REPORTS: (use approp. subj.)
General or comprehensive
(to the Congress or the
public) . . . . . INF 7
Periodic administrative &
management . . . . . ADM 2
Post (record copy & supporting
papers) . . . . . PER

REPORTS MANAGEMENT . . . . . ADM 8

REPRESENTATION:
Allowances . . . . . PER 3

REPRODUCTION & DISTRIBUTION
(Agency service) . . . . . GRS 5

REQUESTS: (use approp. subj.)
General inquiries from
the public . . . . . INF 4

REQUISITIONS:
For supplies from stock . . . . . GRS 2
For procurement (purchases) . . . PRC 1
For reproduction (by Agency) . . GRS 5

RESEARCH & DEVELOPMENT:
Agricultural . . . . . AGR 11
Aircraft (civilian) . . . . . TRP 1
Housing . . . . . SOC 4
Industrial . . . . . IND 11
Market . . . . . IND 6
Medical . . . . . HLS 8
Nuclear energy . . . . . IND 8
Program . . . . . PRM 6
Scientific . . . . . SCT 4
Technical (Use approp. subj.)

RESERVES:
International (financial) . . . . ECF 4
Manpower:
Civilian . . . . . SOC 5
Stocks:
Agency acquisition of . . . . . PRC 9

RESETTLEMENT:
Land . . . . . AGR 9
Refugees & migrants . . . . . SOC 6

RESIDENCE:
Allowances (employees) . . . . . PER 3
Assignment of quarters . . . . . GRS 6

RESIDENT STAFF APPOINTMENTS . . . . PER 9

RESIGNATION (of Agency
employees) . . . . . PER 18
Earth Resources Survey
Program . . . . . SCT 18

RESOURCES:
Agricultural . . . . . AGR
Human . . . . . SOC 5
Land:
Agricultural use . . . . . AGR 9
General . . . . . SCT 19
Mineral(s):
As industry . . . . . IND 7
Technology . . . . . SCT 9
Mobilization of:
Manpower . . . . . SOC 5
Natural (except as above) . . . . SCT 9

REST & RECUPERATION (employees):
Health aspect . . . . . PER 11
Travel aspect . . . . . TRV 2

RESTRICTIONS: (use approp. subj.)
Battle Act (trade) . . . . . ECF 4
Travel:
Agency employees . . . . . TRV 2, 5

RETENTION REGISTERS . . . . . PER 9

RETIREMENT:
Personnel:
Agency . . . . . PER 16
Payroll deduction
procedures . . . . . FIS 12
Of records . . . . . ADM 8
Social insurance programs . . . . SOC 5

REVALUATION, OF CURRENCY . . . . . ECF 4

REVENUE (of governments) . . . . . ECF 2

REVOLVING FUND . . . . . FIS 14

RIFLES:
As non-military firearms:
Manufacture . . . . . IND 5

RIGHTS:
Agency employees:
Fair employment . . . . . PER 9
Political . . . . . PER 4
Reemployment . . . . . PER 9

RIGHTS: (Cont'd)
Human . . . . . SOC 3

RIOTS:
Labor . . . . . SOC 5
Race . . . . . SOC 3

RIVER BASIN DEVELOPMENT (Use approp.
subj.) or . . . . . SCT 9

RIVERS:
Inland:
Flood prevention
& control . . . . . AGR 9
Navigation, dredging,
etc. . . . . TRP 3

ROADBEDS (railways) . . . . . TRP 5

ROADS (constr. & maintenance) . . . TRP 2

ROLLING STOCK . . . . . TRP 5

RODENTS:
Agricultural pests . . . . . AGR 4, 10
Health aspect . . . . . HLS 7

ROSTERS, DUTY . . . . . PER 1

ROTATION, PERSONNEL . . . . . PER 9

ROUTING:
Agency mail . . . . . ADM 8
Agency telegrams . . . . . ADM 8

RTAC (Regional Technical Aids
Centers) . . . . . INF 10

RUBBER & RUBBER PRODUCTS:
Cultivation . . . . . AGR 8
Manufacture . . . . . IND 5

RULES & REGULATIONS
(Use approp. subj.)

S

RUN 13 REPORTS . . . . . FIS 13

RURAL:
Development . . . . . SOC 1
Electrification . . . . . IND 9
Health . . . . . HLS 4

SAFEHAVEN . . . . . ADM 10

SAFETY:
Agency employees . . . . . PER 11
Building . . . . . GRS 1
Industrial . . . . . SOC 5
Transportation:
Commercial:
Aviation . . . . . TRP 1
Highway . . . . . TRP 2
Inland waterway . . . . . TRP 3
Ocean shipping . . . . . TRP 6
Railway . . . . . TRP 5

SALARIES (Agency personnel) . . . . PER 3

SALE:
Agency property equipment & supplies . . . . . GRS 2
Commodities (PL 480) . . . . . FPC 3, 5
By employees of personal property abroad . . . . . PER 4
Gov't-owned excess property (under Sec. 607 of FAA of 1961) . . . PRC 9

SALES:
Agreements (PL 480) . . . . . FPC 3, 5
Billing and collection . . . . . FIS 5

SALT REPORT . . . . . FIS 13

SANITARY ORGANIZATION, PAN AMERICAN (PASO) . . . . . HLS 7

SANITATION:
Health aspect . . . . . HLS 7
Technical assistance programs:
Agency . . . . . HLS 7
Non-agency . . . . . PRM 7

SATELLITES (space):
Telecommunications aspect . . . . IND 13

SCHEDULES:
Motor pool . . . . . GRS 4
Pay . . . . . PER 3

SCHEDULES: (Cont'd)
Records disposition . . . . . ADM 8
Reporting . . . . . ADM 8
Vacation . . . . . PER 3

SCHOLARSHIPS . . . . . EDU 5

SCHOOL:
Administration . . . . . EDU 9
Courses for participants . . . . TRG 4
Construction . . . . . EDU 9
Facilities . . . . . EDU 9
Lunch programs (under
PL 480) . . . . . FPC 2, 6

SCHOOLS:
Agricultural . . . . . AGR 1
Elementary . . . . . EDU 4
Engineering . . . . . EDU 8
For employee dependents . . . . . PER 5
Higher education . . . . . EDU 6
Labor Union sponsored . . . . . SOC 5
Medical . . . . . HLS 1
Nursing . . . . . HLS 1
Professional . . . . . EDU 8
Public Administration . . . . . PUB 7
Public Health . . . . . HLS 1
Secondary . . . . . EDU 10
Social Workers . . . . . EDU 8
Trade . . . . . EDU 12
Labor union . . . . . SOC 5
U.S. sponsored abroad . . . . . EDU 2
Vocational . . . . . EDU 12

SCIENCE, GENERAL . . . . . SCT 5

SCIENCE AND TECHNOLOGY (See
Technology) . . . . . SCT 1

SCIENTIFIC & CULTURAL ORGANIZATION,
UN EDUCATIONAL (UNESCO)
PROGRAMS . . . . . PRM 7

SCRAPPING (of vessels)
Merchant . . . . . TRP 6

SCREENING PROCEDURES, SECURITY:
Agency personnel . . . . . PER 17
Participants . . . . . TRG 11

SEABEDS:
As resource . . . . . SCT 9, 10

SEALS:
Legal . . . . . LEG 8

SECONDARY EDUCATION &
SCHOOLS . . . . . EDU 10

SECRETARIAL DETERMINATIONS . . . . LEG 4

SECRETARIAT
(use approp. subj. for Int'l
org., conf. ect.)

SEADAG (SE Asia Development
Advisory Group) . . . . . PRM 7

SECTIONS: (of legislation)
607 (FAA, 1961) . . . . . PRC 9
608 (FAA, 1961) . . . . . PRC 9
634d (FAA, 1961) . . . . . BUD 5
1311 (Supplemental Appropriations
Act, 1955) certification . . . FIS 2

SECURITY:
Buildings & restricted
areas . . . . . GRS 1
Document & information . . . . . ADM 9
Participant . . . . . TRG 11
Personnel (Agency) . . . . . PER 17
Trade control . . . . . ECF 4
Violations (employee) . . . . . PER 17

SEED IMPROVEMENT . . . . . AGR 4

SEGREGATION (racial) . . . . . SOC 3

SELECTION:
Out (of personnel) . . . . . PER 18
Panel (for contract award) . . . PRC 3
Participants . . . . . TRG 11

SELF-AUDIT . . . . . FIS 3

SELF-HELP HOUSING . . . . . SOC 4

SEMINARS (use approp. subj.)

SENATE:
Agency relations with . . . . . LEG 2
Investigations . . . . . LEG 2
Hearings:
Appropriation
legislation . . . . . BUD 3
Authorizing legislation . . . . LEG 6

SEPARATION:
Agency employees . . . . . PER 18
Allowances . . . . . PER 3

SERVICE:
Agency employees:
Length of:
Awards . . . . . PER 2
Credit . . . . . PER 16
Industries . . . . . IND 12

SERVICES (use approp. subj.)

SETTLEMENT, LAND . . . . . AGR 9

SEWAGE DISPOSAL &
TREATMENT . . . . . HLS 7

SHARED ADMINISTRATIVE SUPPORT . . . ADM 6
. . . . . BUD 5

SHELF LISTS (of retired
records) . . . . . ADM 8

SHELTER AREAS:
In government buildings . . . . . GRS 1

SHIPMENT(S):
Commodities . . . . . PRC 7
Arrival accounting
procedures . . . . . PRC 2

SHIPMENT(S): (Cont'd)
Employee effects (allowances,
insurance, etc.) . . . . . TRV 6
Records (Agency) . . . . . ADM 8
U.S. Flag requirements &
waivers . . . . . PRC 7,
. . . . . TRV 3

SHIPS, VESSELS:
Merchant . . . . . TRP 6
Agency use for shipment or
travel . . . . . PRC 7,
TRV 3
Operations (merchant) . . . . . TRP 6

SICK LEAVE . . . . . PER 1

SINO-SOVIET BLOCK (See COMMUNIST
BLOC)

SIGNATURE, AUTHORIZATION . . . . . ADM 6

SLOW DOWNS, LABOR . . . . . SOC 5

SLUM CLEARANCE . . . . . SOC 4

SMALL BUSINESS:
Agency procedures for procurement
advertising . . . . . PRC 3
Development of . . . . . IND 2

SMALLPOX . . . . . HLS 2

SMUGGLING:
By employees . . . . . PER 4
Economic aspect . . . . . ECF 4

SOCIAL:
Activities. Functions:
Agency employees . . . . . PER 8
Cultural factors . . . . . SOC 3
Insurance programs . . . . . SOC 5
Security (Agency employees):
Payroll deductions . . . . . FIS 12
Retirement . . . . . PER 16

SOCIAL: (Cont'd)
Service . . . . . SOC 6
Education & training
For participants . . . . . TRG 4
For social workers . . . . . EDU 8

SOIL:
Agricultural aspect . . . . . AGR 9

SOLAR ENERGY . . . . . IND 9

SOLAR THERMAL DEVELOPMENT . . . . . SCT 21

SOVIET BLOC (See COMMUNIST BLOC)

SPACE:
Acquisition & accountability . . . . . GRS 6
Assignment . . . . . GRS 6
Moves . . . . . GRS 6
Outer:
Telecommunications . . . . . IND 13

SPECIAL:
Events . . . . . INF 8
Letter of Credit (General) . . . FIS 4
Passports . . . . . TRV 5

SPEECHES:
Of Agency personnel (invitation arrangements, clearance, etc.). INF 9
Of interest for program purposes (use approp. subj.)

SPONSORSHIP (use approp. subj.)

STABILIZATION:
Economic . . . . . ECF 3
Financial . . . . . ECF 4

STAFF MEETINGS . . . . . ADM 3

STAFFING:
Authorization of levels. Ceilings . . . . . BUD 5
Authorized levels. Patterns. Rosters . . . . . PER 19

STANDARD OF LIVING (general) . . . ECF 3

STANDARDS (Use approp. subj.) or:
Equipment & supplies:
Paperwork systems . . . . . ADM 8
Procurement . . . . . PRC
Job . . . . . PER 15
Labor . . . . . SOC 5
Industrial . . . . . IND 11

STATISTICAL:
Directory, Federal (personnel listing) . . . . . PER 8
Methods:
Agency Application:
As management technique . . . ADM 1
Other (use approp. subj.)
Public administration aspect . . . . . PUB 8

STATISTICS (use approp. subj.)

STOCKPILING:
Agency procurement from . . . . . PRC 9
Revolving fund accounting . . . FIS 14

STORAGE:
Employees effects . . . . . TRV 6
Equipment & Supplies (Agency) . . . . . GRS 6
Farm buildings . . . . . AGR 6
Port facilities (cargo) . . . . . TRP 4
Security facilities . . . . . ADM 9
Warehouse space (in Agency buildings) . . . . . GRS 6
Warehousing (industry) . . . . . IND 12

STRATEGIC:
Materials:
Barter for (under PL 480, Title III) . . . . . FPC 7
Procurement of (Agency) . . . . PRC 9
Trade control . . . . . ECF 4

STRIKES . . . . . SOC 5

STUDENTS:
Education (general) . . . . . EDU
Courses for participants . . . TRG 4
Exchange program . . . . . PRM 7

STUDY GROUPS (use approp. subj.)

SUB-ALLOTMENTS . . . . . BUD 5

SUB-OBLIGATIONS . . . . . FIS 2

SUBSCRIPTIONS (purchase of) . . . . PRC 1

SUBSIDIARIES, FOREIGN (guarantee contracts for) . . . . . LGP 1

SUGGESTION PROGRAM, EMPLOYEE . . . . . PER 2

SUPPLEMENTAL BUDGET REQUESTS . . . BUD 3

SUPPLIERS' CERTIFICATES . . . . . PRC 4

SUPPLIES:
Accountability . . . . . GRS 2
Procurement . . . . . PRC

SUPPLY:
Management:
Agency personnel training in . . . . . PER 13
Courses for participants . . . TRG 4
Programs . . . . . PUB 1
Water . . . . . HLS 7

SURPLUS & AVAILABLE:
Agricultural commodities, U.S.-owned:
Disposal under PL 480 (general) . . . . . FPC
Availability of . . . . . FPC 1
Barter or exchange . . . . . FPC 7
Donations to voluntary agencies . . . . . FPC 6
Advisory Committee on Voluntary Foreign Aid . . . FPC 6

SURPLUS & AVAILABLE: (Cont'd)
Annual estimate of requirements (of voluntary agencies) . . FPC 6
Grants to governments . . . . . FPC 2
Disaster & emergency programs . FPC 2
Welfare programs . . . . . FPC 2
Sales:
For Foreign currency . . . . . FPC 3
Agreements . . . . . FPC 3
For dollar credits . . . . . FPC 5
Agreements . . . . . FPC 5

SURPLUS PROPERTY (Agency) . . . . . GRS 2

SURVEYING & MAPPING:
Civilian . . . . . IND 1

SURVEYS: (use approp. subj.)
Geodetic . . . . . IND 1
Geological . . . . . SCT 9
Investment . . . . . LGP 3
Market . . . . . IND 6
Paperwork Management (general) . . . . . ADM 8
of specific functions (use approp. subj.)
Property Inventory . . . . . GRS 2

SUSPENSION, EMPLOYEE . . . . . PER 4

SYMBOLS: (use approp. subj.)
Appropriation & allotment . . . . FIS 8

SYSTEMS (use approp. subj.)

T

TANKERS . . . . . TRP 6
Use for Agency commodity
shipments . . . . . PRC 7

TARIFF:
Agency tariff administration
programs . . . . . PUB 2
Concession, Controls,
Negotiations . . . . . ECF 4
Courses for participants . . . . TRG 4

TARIFFS:
Agency exemption from:
Commodity, equipment & supplies
customs clearance . . . . . PRC 2
Employee effects . . . . . TRV 6

TARIFFS & TRADE, GENERAL
AGREEMENT ON (GATT) . . . . . ECF 4

TAX:
Exemption:
Employees . . . . . PER 6
Incentives (foreign
investment) . . . . . LGP 3
Income:
Assistance to Agency
employees . . . . . PER 8
As source of revenue . . . . ECF 2
Systems . . . . . PUB 2
Withholding (payroll
procedures) . . . . . FIS 12

TAXIS (official use) . . . . . TRV 3

TEACHER TRAINING . . . . . EDU 8
Courses for participants . . . . TRG 4

TEACHING METHODS & MEDIA . . . . . EDU 11

TECHNICAL:
Aids . . . . . INF 7
Assistance:
As Agency program method . . . PRM 5
Agreements . . . . . LEG
Contracts . . . . . PRC 3
Non-Agency . . . . . PRM 7

TECHNICAL: (Cont'd)
Inquiry service . . . . . INF 7
Translation programs (RTAC,
etc.) . . . . . INF 10

TECHNOLOGY:
Agriculture . . . . . SCT 9
Communications . . . . . SCT 15
Computer . . . . . SCT 14
Education . . . . . SCT 20
Energy . . . . . SCT 21
Engineering . . . . . SCT 5
Environmental Protection . . . . SCT 19
Forestry . . . . . SCT 11
General . . . . . SCT
Housing . . . . . SCT 13
Industrial . . . . . SCT 17
Information . . . . . SCT 7
Legislation . . . . . SCT 22
Marine . . . . . SCT 10
Natural Resources . . . . . SCT 9
Policy:
Agency . . . . . SCT 1
Cooperating Country . . . . . SCT 6
Public Works . . . . . SCT 12
Remote Sensing . . . . . SCT 18
Science . . . . . SCT 5

TELEGRAMS, AGENCY, NON-AGENCY . . . ADM 8

TELEGRAPH:
Agency system & facilities . . . ADM 8
Public utility . . . . . IND 13

TELEPHONE:
Agency facilities & services . . GRS 1
Public utility . . . . . IND 13

TELEVISION:
Agency public relations use . . . INF 5
Commercial . . . . . IND 13
Educational medium . . . . . EDU 11
Information & propaganda
use . . . . . INF 6

TELSTAR:
As space communications satellite . . . . . IND 13
As transmission medium for Int'l Inf. programs . . . . . INF 6

TEMPORARY:
Appointments . . . . . PER 9
Lodging allowance . . . . . PER 3
Duty . . . . . PER 1

TENTATIVE PROGRAM LEVEL . . . . . BUD 4

TENURE (Land) . . . . . AGR 9

TERMINATION OF:
Employment . . . . . PER 18
Offices & Missions (Agency) . . . ADM 6

TESTING. TESTS:
Agency employees & applicants . . . . . PER 9, 11
Participants . . . . . TRG 11
Relocation . . . . . ADM 10

TEXTBOOKS
(as educational medium) . . . . . EDU 11

THEFT (of Agency property) . . . . GRS 2

THERMO-ELECTRIC POWER . . . . . IND 9

THIRD COUNTRY:
Employees . . . . . PER
Training . . . . . TRG 2

TICKETS, TRIP
(Motor pool procedures) . . . . . GRS 4

TIED AID (procurement soruce restricted to donor country) . . PRC 2

TIME & ATTENDANCE RECORDS . . . . . PER 1

TITLE, COMMODITY . . . . . PRC 2

TITLE IX, INSTITUTION BUILDING . . PRM 6

TORNADOES . . . . . SOC 6

TORT CLAIMS . . . . . FIS 7

TOUR OF DUTY (at post) . . . . . PER 1

TOURISM . . . . . IND 12

TRADE:
Agreements . . . . . ECF 4
Barriers & controls . . . . . ECF 4
Complaints . . . . . IND 6
Development . . . . . IND 6
Domestic . . . . . IND 6
Fairs . . . . . IND 6
International . . . . . ECF 4
Common market . . . . . ECF 4
Opportunities . . . . . IND 6
Promotion . . . . . IND 6
Schools . . . . . EDU 12
Labor union . . . . . SOC 5
Statistics . . . . . ECF 4
Triangular . . . . . PRC 8
Unions:
Economic integration . . . . . ECF 4
Labor . . . . . SOC 5

TRADEMARKS. TRADENAMES . . . . . LEG 10

TRAFFIC:
Engineering . . . . . SOC 4

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Records . . . . . ADM 8
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TRANSMISSION, POWER . . . . . IND 9

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Of commodities, equipment
& supplies . . . . . PRC 7
Highways . . . . . TRP 2
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Lines, Agency relations with:
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Local:
Motor pool service . . . . . GRS 4
Public carriers . . . . . TRV 3
Motor transport systems . . . . . TRP 2
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TRUCKING (highway
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TRUST FUND (accounting) . . . . . FIS 14

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UNITED NATIONS:
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Education:
Academic . . . . . EDU 6
Agricultural . . . . . AGR 1
Engineering . . . . . EDU 8
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Finance . . . . . SOC 4
Labor markets . . . . . SOC 4
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And access to Agency records . . ADM 9
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Economic Analysis of . . . . . ECF 3

VOCATIONAL:
Education & training . . . . . EDU 12
Labor union programs . . . . . SOC 5
Rehabilitation . . . . . SOC 6

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End use observations . . . . . FIS 3
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Business . . . . . LGP 3
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VOODOOISM . . . . . SOC 3

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(WHO) (or use approp. subj.) . . PRM 7

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Social aspect . . . . . SOC 6

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CASE FILES

C H A P T E R 5

C A S E F I L E S

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CHAPTER 5

CASE FILES

5A. General

Case files are collections of papers that relate to a specific transaction, event, person, or thing. They contain only records relating to the specific case. The most common case files found at A.I.D. are project files and personnel files. The prescribed formats for bilateral assistance project files and personnel files for Foreign Service National employees are outlined in this chapter as examples of case files. Other official case files such as contract files and loan files should be arranged and maintained using the general guidelines presented in this chapter.

5B. Setting Up Case Files

1. Folders

Use standard Kraft file folders, square cut and scored for case files. Bulky items such as blueprints, maps, and book-size reports which may be shelf filed should be cross referenced in the file giving their locations. When the file is retired, include these items as part of the official case file.

Case files are generally maintained until a final action is taken and the case is closed. Several years' documentation may be in one folder. When the folder becomes too bulky to handle, the case file folder should 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 the sake of convenience, end of fiscal year, end of month or end of specific date may be used as the cut off date for case file folders.

2. Labels

Yellow-banded self-adhesive labels are required for official case file folders and green-banded self-adhesive labels for working case files. Working file labels should have exactly the same title as the official file.

a. A standard format should be used in the preparation of labels. Information should be as complete and concise as possible. Abbreviations may be used only if easily understood.

b. Inclusive dates of the contents of each folder should be shown in the lower right hand corner of the folder label. When the folder is begun, the fiscal year date of the first document should be typed on the folder label. The cut-off date can be handwritten after the beginning date if cut-off date is not known when the label is prepared. See figure 5-5 (b) as an example.

c. If the folder is a case file about a specific event, the inclusive date(s) of the event are used on the label. For example, "Administrator's Review - June, 19xx," or "Population Conference - Mar.18 - 23, 19xx."

3. Position of Labels on Folders

Place all folder labels on the far left label position area for all case file folders.

4. Arrangement and Labeling

Case files should be arranged according to the feature most commonly known or used in the referenced case. This could be by name, number or date, leading to an alphabetical, numerical or chronological filing arrangement.

a. Alphabetical Arrangements

Some files are logically arranged and labeled alphabetically by the name of a person, organization, or business concern, as illustrated in figure 5-1. In the label marked Contractors, Potential, for example, Ace Trucking Co. and the names of the other businesses under that label heading are filed alphabetically.

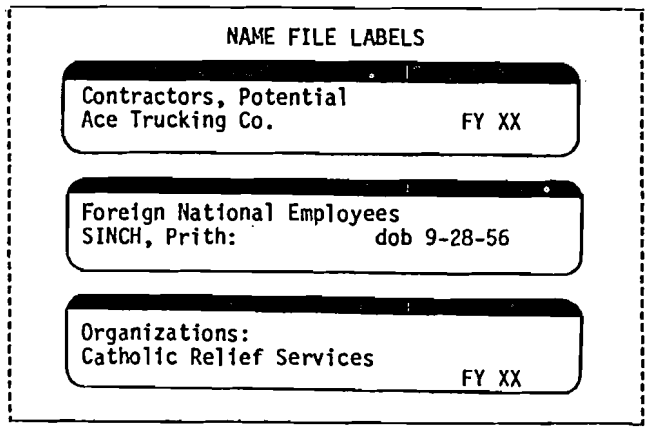

FIGURE 5-1

When the filing arrangement is by names of persons, as in the second example in figure 5-1, the family name (surname) should be typed in capital letters, followed by the given name and any middle name(s) in initial capitals, only.

b. Numerical Arrangements

Some files are more appropriately arranged and labeled by their identifying number. The different types of files (project, loan, travel) most commonly lending themselves to numerical arrangement are illustrated in figure 5-2. Arrange these files in sequence beginning with the lowest number. Because many different types of numerical designators can be used, always show the file name (e.g. Travel Authorizations) on each folder label.

NUMERICAL FILE LABELS

Project 493-0115
Thailand Family Planning
FY XX

Loan 512-5802-463-222-123
Brazil Recife Construction
FY XX

Travel Authorizations
1840011 - 1840099
FY XX

FIGURE 5-2

c. Chronological Arrangements

It is sometimes more convenient to arrange files by date. An instance of this occurs in offices receiving large numbers of telegrams, in which a file folder is set up for each day's volume, arranged in the cabinet by date. See figure 5-3.

A case folder may contain papers that relate to a single date or to a period of time between two set dates. Show the single date, or the inclusive dates, of the folder's contents on the folder label as illustrated in figure 5-3.

DATE FILE LABELS

Telegrams

July 6, 19XX

Clippings - USAID Activities

Oct.-Nov., 19XX

FIGURE 5-3

5C. Arranging Documents to Be Placed in Case Files

1. Marking

a. Underline or circle the significant filing feature (name, number, or date) to aid in filing. Do not mark case file material with subject file group codes. Instead, mark documents in the upper-right corner with an abbreviation for the filing feature, such as "LOAN 0123." This helps in sorting and filing the material.

b. Use the following techniques to select the correct filing feature for case file papers:

(1) Check the subject line for a name or number that identifies a particular person, project, loan, contract, or other case file grouping.

(2) Look for preprinted or serially-assigned numbers that identify the paper as one in a continuing series of similar papers.

(3) Review existing files for names or numbers that are the same as those on the paper. Begin with the files station's Files Maintenance and Disposition Plan.

2. Sorting and Assembling

Separate official file from working file materials and subject material from materials for the case file. Mark case file documents with the appropriate filing feature. Working files should be placed either directly behind the official file folder or wherever convenient for the action officer.

Assemble case file papers so that each group is in name, number, or date order, as appropriate. Materials are normally filed by date order within the folders, the earliest filed at the bottom or in the back, and the most recently dated document on top or in front.

5D. Two Specialized Case Files

1. Bilateral Assistance Project Files

a. General

(1) A.I.D. bilateral assistance project files contain the detailed life-cycle documentation of A.I.D.'s technical assistance activities. For information on project numbers and the A.I.D. Project Activity Identification and Classification System specifically, consult Handbook 18, Appendix D, Section II.

(2) The more uniform the maintenance of these files, the more valuable they become for current and future use.

b. Arrangement

(1) Grouping

Group project files alphabetically by name of country or region, and within this group numerically by country, regional or interregional code (the first segment of the project number). Next, arrange projects in sequence by project serial number (the second segment of the project number).

(2) Organization

These project files have seven major sections which must be kept in order. The seven sections and types of documents covered in each are listed in Figure 5-4. If there are many folders in the file, use file guide cards to indicate the various sections illustrated. The particular type of document (e.g., PIO/T, Task Order) should be noted in capital letters on the bottom line of the label on each project file folder. See Figure 5-5, Section (a).

BASIC PROJECT DOCUMENTS FILE ARRANGEMENT

NAME

Project Development
Feasibility Study
Market Survey
Pre-PID Document, MISC

Core Project
PID
PID Rev
PID Approval Doc
PRP, Pre-1978 Proj
PRP Revision
PP/PAAD
PP Amendment
Project Authorization
Project Authorization Amend
Grant Agreement
Grant Agreement Amend
Loan Agreement
Loan Agreement Amend
Waiver, General
Core Official Correspondence
Loan and Grant Agreement

Correspondence
Cable, Incoming
Cable, Outgoing
Correspondence, General
Financing Request

CP to Disbursement
Condition, Pre-Disbursement
Implementation Letter

Disbursing Authorization
PIO/T
PIO/C
PIO/P
L/COM
Procurement Authorization/Pur Req
DRA/Direct Reimbursement Approval
Excess Property Letter Order/PO

Contracts/Contract Amendments
Contract
Contract Amendment
IFB/RFP
Response to Invitation
Awarded Invitation for bid
Work Order
Task Order
Delivery Order
PASA/RSSA

Reports
Report, Research
Report, Progress
Report, Evaluation
Report, Audit
Report, Final
Report, Implementation
Report, Trip
Report, End of Tour
Report, MISC/NEC

FIGURE 5-4

c. Label Content

(1) General

The folder labels for these projects, as with labels for other case files, should be concise but provide enough information to make the folder easy to identify. See figure 5-5. Use abbreviations only if their meanings will be understood by all users. Prominently display pertinent information for each part of the project case file. For example, the project title Soil Conservation is displayed on each label below.

EXAMPLES OF PROJECT LABELS

(1)
```
Project  527-0220
PERU     Soil Conservation
         LOAN AGREEMENT  FY XX-
```

(2)
```
Project  527-0220
PERU     Soil Conservation
         CABLES, INCOMING  FY XX
```

(3)
```
Project  527-0220
PERU     Soil Conservation
         REPORT, AUDIT   12/XX
```

(a) These examples are for different types of project documents (e.g, loan agreement, cables) within the same project. Each label should show the project number, name of country, name of project and date. On the bottom line in capital letters write the type of document, taken from the listing in figure 5-4.

(b) On example (1), the beginning date was typed on the label and space was left to handwrite the cut-off date. Example (2) concerns only one fiscal year, and (3) covers a specific event, so there is no need for space for a cut-off date on either of them.

FIGURE 5-5

2. Personnel Files (Foreign Service Nationals)

a. General

Keep all the records documenting an employee's service and status in an Official Personnel Folder (OPF), Standard Form 66 (SF-66), as required by U.S. Government regulations. Only one official folder is authorized for each direct hire employee.

Maintain personnel folders in a secure area. Do not allow unauthorized access.

b. Arrangement

Arrange OPF's 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 year).

c. Contents of the OPF

(1) Right Side of the Folder, Long-Term Records

File the following documents on the right-hand (long-term) side, by effective date, in chronological order:

(a) Records originating with or relating to appointment action. For example:

- Applications for employment.
- SF-144, Statement of Prior Federal Civilian and Military Service.
- DS-1032, Notification of Personnel Action.
- SF-61, Appointment affidavits.
- FS-569, or other reports of physical examinations. Place any detailed medical information of a confidential nature in an envelope beneath the papers on the right side of the folder.

- Notice of Security Clearance.
- SF-1152, Designation of Beneficiary (unpaid compensation).
- SF-2806, Individual Retirement Record.
- SF-2808, Designation of Beneficiary (CSR).
- Records of skills tests needed for employment.
- Forms needed to enroll in post insurance or other benefit programs.

(b) Long-term records originating during the employee's service. For example:

- Any document listed above when connected with a change action.
- FS-483, Pay Change Record, or a copy of a Mass Change Adjustment.
- Performance evaluation reports (but only those with an over-all rating of "Outstanding" or "Unsatisfactory").
- CA-1 and CA-2, reports of on-the-job injury and treatment.
- Evidence of awards.
- Records of training other than on-the-job training for the employee's designated position.
- Official letters of commendation that show official duties were carried out above the quality normally expected.

(c) Long-term records originating with separation. For example:

- Any document listed above that is connected with separation action.
- FS-411, Leave Record; the final leave record showing the accumulated leave at separation.

- Clearance for final salary payment, if needed.
- SF-2801, Application for Retirement.
- SF-2802, Application for Refund of Retirement Deductions.

(2) Left Side of the Folder, Temporary Records

Any document not shown above as a long-term record, is a temporary record. File temporary records, e.g., requests for personnel action, letters of warning or reprimand and similar disciplinary actions papers, and letters of reference in chronological order on the right side of the folder.

RECORDS DISPOSITION

Chapter 6

CHAPTER 6

RECORDS DISPOSITION

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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 A.I.D. 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 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. Changes in Disposition Instructions

Disposition instructions for specific files are changed periodically 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. Increased Retention Periods. 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. Reduced Retention Periods. 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.

5. Disposition Methods

a. Destruction

Many of the files kept in A.I.D. 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 A.I.D.'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) A.I.D./W

Retired records should be sent through the A.I.D. Records Depository (the A.I.D. 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 A.I.D./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.

6B. Responsibilities and Duties

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

- follow the Records Disposition Schedule in Appendix 6A-6C;
- 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 A.I.D. 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.

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

NOTIFICATION OF RETIREMENT OF INACTIVE FILES	INSTRUCTIONS 1. Submit orginal and 1 copy to the AID Records Depository. 2. For further instructions see HB 21, Part II.			OFFICE SYMBOL IG/EMS			
				WNRC ACCESSION NUMBER			
TO: AID RECORDS DEPOSITORY Room B-531C, New State	FILE CUSTODIAN NAME Jerry Stewart			WNRC CARTON NUMBERS FROM Box 1		TO Box 20	
	ROOM NUMBER AND BUILDING 412 RPE, SA-16					TELEPHONE EXTENSION 235-2111	
RECORDS INFORMATION REQUIRED (To be completed by file custodian.)							
CUBIC FEET SURVEYED	CUBIC FEET DESTROYED	CUBIC FEET TO BE RETIRED	CABINETS TO BE RELEASED	INCLUSIVE DATES FROM	TO	HIGHEST SECURITY CLASS.	LOT NUMBER
18	4	12	1	19XX	19XX	Unclass.	87-17
DESCRIPTION OF RECORDS Audit reports, Contracts, Correspondence, and Related Papers Developed from the IG Offices.							
FILE CUSTODIAN SIGNATURE Jerry Stewart						DATE 10/27/XX	
ACTION BY AID RECORDS DEPOSITORY							
REMARKS							
VAULT SUPERVISOR SIGNATURE (AID Records Depository) Henry S. White						DATE 11/28/XX	
AID 5-45 (2-81)							

FIGURE 6-1

6C1

* b. Marking Boxes

(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.

* Revised

Form 135-A Shelf List

RECORDS TRANSMITTAL AND RECEIPT (Continuation)

This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.

TRANSFERRING AGENCY'S NAME: A. I. D. FM/LMD

DATE: 12/6/xx

PAGE 8 OF 9 PAGES

ACCESSION NUMBER RG (a)	FY (b)	NUMBER (c)	VOLUME (cu. ft.) (d)	AGENCY BOX NUMBERS (e)	SERIES DESCRIPTION (With inclusive dates of records) (f)	RESTRICTION (g)	DISPOSAL AUTHORITY (Schedule and item number) (h)	DISPOSAL DATE (i)	COMPLETED BY RECORDS CENTER: LOCATION (j)	SHELF PLAN (k)	CONT. TYPE (l)	AUTO. DISP. (m)
				11	UNCLASSIFIED FY XX - XX PAKISTAN							
					L/COMM CONTROL - LOAN AGREEMENT		HB 21 Item 15430	Destroy 4/xx				
					391-H-152							
					L/C #'s, 16 thru 23							
					391-H-153							
					L/C #'s, 01 thru 12, 14, 16 thru 21							
					391-H-154							
					L/C #'s, 01 thru 15							
					391-W-155							
					L/C #'s, 01, 02 and 06							
					391-F-155							
					L/C #'s, 03 thru 05, 07 thru 09							
					391-X-157							
				11	L/C #'s, 10 thru 06							
					Box No. 12							
				12	UNCLASSIFIED PHILIPPINES							
					L/COMM CONTROL - LOAN AGREEMENT							
					492-H-030							
					L/C #'s, 02 thru 06							
					492-H-028							
					L/C #'s, 01 thru 02							
				12								

135-203

☆U.S. GPO:1977-0-281-647/3207

STANDARD FORM 135-A (Rev. 6-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.4

FIGURE 6-2

(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 A.I.D. Records Depository

a. A.I.D./W

(1) Complete A.I.D. 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 A.I.D. 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 A.I.D. Form 5-45 to the A.I.D. 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.

SHELF LIST--ALTERNATE

	SHELF LIST	
Box Number	Description of Records with Inclusive Dates	Disposal Authority
1.	OFFICIAL FILES OF CENTRAL AND WEST AFRICA REGIONAL AFFAIRS, COVERING THE PERIOD FY XX-XX. UNCLASSIFIED.	Destroy Boxes 10/1/XX
	SUBJECT FILES - FY XX	
	AGR 1 Agricultural College & Universities AGR 2-1 Farm Management AGR 4 Crop Production AGR 4-1 Seed Improvement (Robert Smith Report): "Seed Production in W. Africa" AGR 4-2 Weed, Disease and Pests AGR 10 Livestock and Poultry AGR 10-1 Breeding (Carried Fwd. to FY XX) EDU Education (Sector Study, "Education in W.Africa") EDU 1 Adult - FY XX EDU 1 Adult - FY XX EDU 4 Elementary EDU 9 School Facilities HLS Health and Sanitation HLS 1 Development of Health Personnel HLS 4 Health Facilities HLS 6 Nutrition HLS 8 Research	HB 21 Item 30010
2.	CASE FILES (Projects)	
	625-1145 University Center for Health Services Correspondence - FY XX 625-1145 University Center for Health Services PIO/T's - FY XX 625-1145 University Center for Health Services Progress Reports - FY XX 625-1382 Central Veterinary Labs - FY XX 624-1399 Central Africa PIO/T Livestock and Meat Marketing - Reports FY XX	HB 21 Items 31010-31020

FIGURE 6-3

b. Overseas

(1) Send the original and one copy of the shelf list(s), with a covering memorandum, by air pouch to the A.I.D. Records Depository, Room B-531C, New State. Do this immediately after shipping retired files to A.I.D./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. Keeping Shelf Lists in the Office

Keep suspense copies of all shelf lists until the A.I.D. 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 A.I.D. Records Depository

a. A.I.D./W

(1) Close boxes by inter-folding the side and end flaps. Do not tape them.

(2) Address the top of each box to:

A.I.D. Records Depository
Room B-531C, New State

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

SHELF LIST MEMORANDUM

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

MEMORANDUM

TO: Irma Filehandler, SER/OP/W

FROM: Henry White, A.I.D. Records Depository
Room B-531C, New State

THRU: Barbara J. Felton, Agency Records Officer,
(703) 875-1749

SUBJECT: Records Disposition

REF: A.I.D. 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,

Lot Number 87-17.

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

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

FIGURE 6-4

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 A.I.D./W. Wrap each box in heavy kraft paper, seal center and edge seams, and tie securely. See Figure 6-5.

(2) Classified Files

(a) Address each box this way:

SECRET (or other appropriate security classification)

A.I.D./W Records Depository
c/o Department of State
Washington, DC 20523

(b) Ship by diplomatic pouch.

(3) Unclassified Files

(a) When shipping boxes by commercial freight, pack up to six boxes per crate. See Figure 6-6.

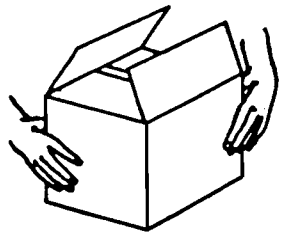
(b) Address each shipment as follows:

(i) Commercial shipment and APO:
Agency for International Development
A.I.D. Records Depository
320 21st Street, NW.
Washington, DC 20523

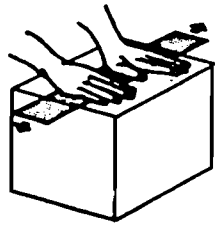
(ii) Pouch:
UNCLASSIFIED
Agency for International Development
A.I.D./W Records Depository
c/o Department of State
Washington, DC 20523

(c) Mark containers "1 of 2," "2 of 2," and so forth, as appropriate.

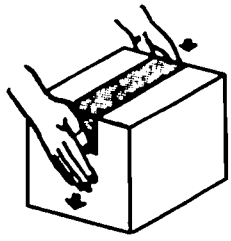
Cardboard Shipping/Storage Box



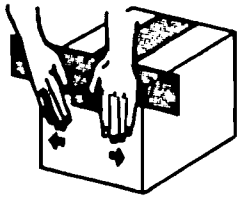
1 SQUARE-UP BOX make all seams come together evenly. Box is to be free from dirt which might prevent tape from sticking.



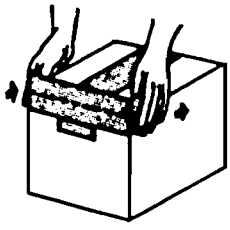
2 SEAL CENTER SEAMS allow 3-inch overlap at each end. Press firmly with heel of hand to assure firm anchorage.



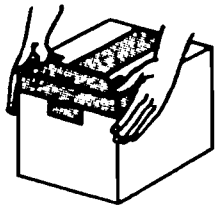
3 OVERLAP ON ENDS is to be folded down and pressed firmly with palms, using downward motion.



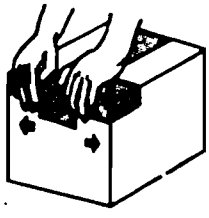
4 SEAL EDGE SEAMS allow 3-inch overlap beyond each corner. Press firmly with palms, using outward motion.



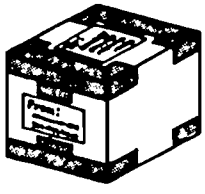
5 BEND AROUND SIDES and pull tightly into position, pressing inward to assure firm contact with sides of box.



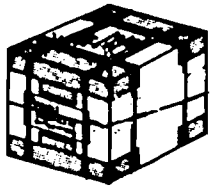
6 FOLD CORNERS over the top and press firmly with thumbs. Join top corners to assure firm seal and prevent bulges.



7 FOLD & PRESS TOP to complete sealing edge seam. Press down and rub outward with palms.



8 COMPLETELY TAPED securely sealed on all seams and corners, strong, dust-tight, and moisture resistant. Identification on each end of each box. Address on top of box.

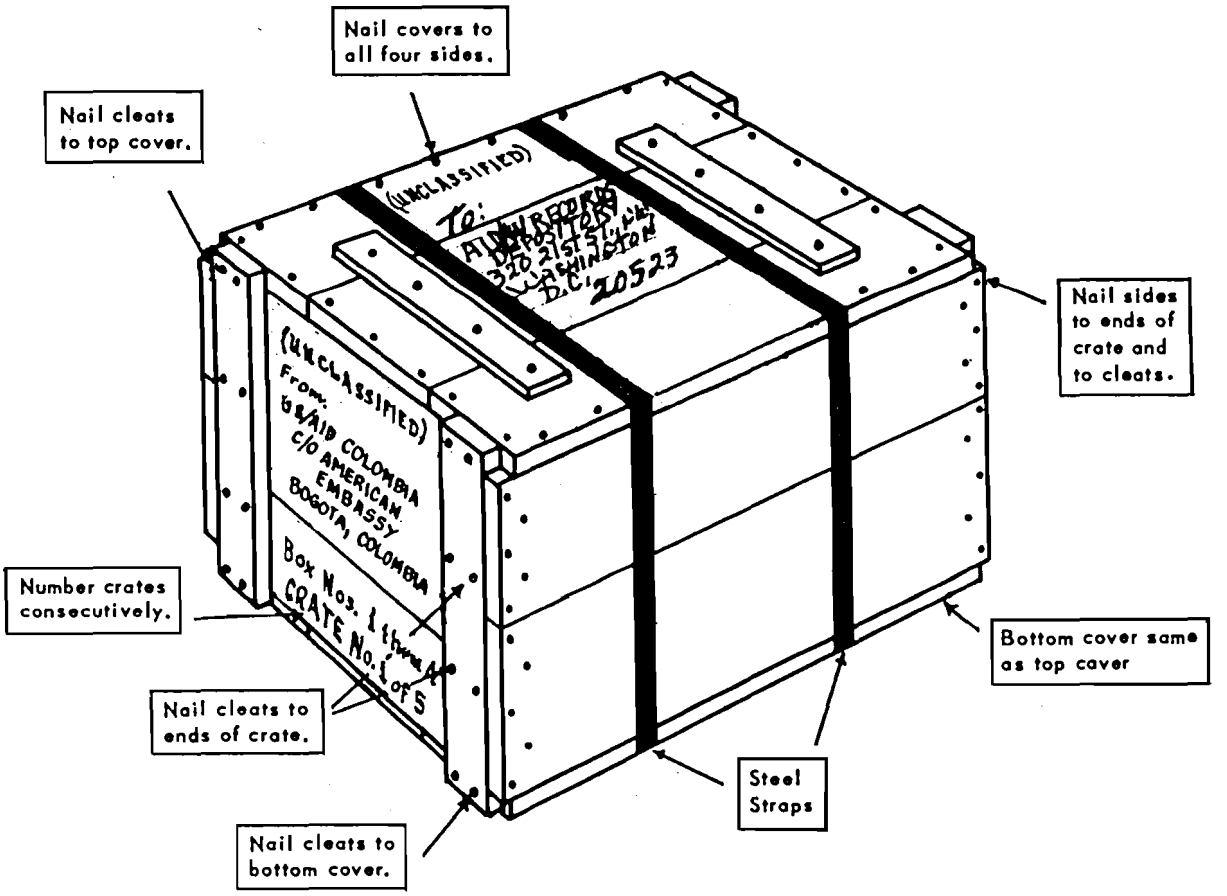


9 FINISHED JOB tie securely by circling with strong cord – twice around girth, twice around length, and once around breadth. Tie cords at 16 intersecting points.

If possible use waterproof sealing tape, such as Scotch Brand 2-inch pressure-sensitive adhesive tape.
If gummed kraft paper sealing tape must be substituted, use 3-inch tape.

FIGURE 6-5

Wood Shipping Crate



1. Inside dimensions are approximately 15" X 12" X 10" for one box, or proportionately larger if several boxes are enclosed.
2. Construct crates of 3/4" lumber or whatever is available on the local market for export packing.
3. Crates may be constructed to hold a maximum of six 15" X 12" X 10" boxes of records.

FIGURE 6-6

(4) Commercial Freight Shipments (Unclassified Only)

(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 A.I.D. Records Depository.

6D. Processing Files in the A.I.D. Records Depository

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

6E. Retrieving Retired Files from WNRC

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

1. A.I.D./W

a. Prepare Optional Form 11 (OF-11), Reference Request-Federal Records Centers, (see Figure 6-7) to provide the following information:

- Title and date of file (exactly as shown on the file folder label);
- WNRC accession number
- Agency box number; and
- Records Center Location Number.

REFERENCE REQUEST--FEDERAL RECORDS CENTER (OF-11)

REFERENCE REQUEST—FEDERAL RECORDS CENTERS | NOTE: Use a separate form for each request.

SECTION I—TO BE COMPLETED BY REQUESTING AGENCY

RECORD GROUP NO	ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION NUMBER
286	86-012	9 OF 10	08/52:34-1-2

DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED *(Include file number and title)*

Folder - ADM 6 Organization and Functions - FY XX

REMARKS

NATURE OF SERVICE

☐ FURNISH COPY OF RECORD(S) ONLY ☐ PERMANENT WITHDRAWAL ☒ TEMPORARY LOAN OF RECORD(S) ☐ REVIEW ☐ OTHER *(Specify)*

NAME OF REQUESTER	TELEPHONE NO. ☐ FTS	DATE
James Harris, AFR/TD	647-8219	9/4/86

NAME AND ADDRESS OF AGENCY *(Include street address, building, room no. and ZIP Code)*

Henry S. White
Agency For International Development
320 21st Street, N. W.
Washington, D. C. 20523
(In Washington, D.C. area also include STOP number)

RECEIPT OF RECORDS

Requester please sign, date and return this form, for file item(s) listed above, ONLY if the block to right has been checked by the Records Center. ☐

SIGNATURE | DATE

SECTION II—FOR USE BY RECORDS CENTER

☐ RECORDS NOT IN CENTER CUSTODY ☐ RECORDS DESTROYED

☐ WRONG BOX NUMBER—PLEASE RECHECK

☐ ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED

☐ MISSING *(Neither record(s), information nor charge card found in container(s) specified)*

☐ RECORDS PREVIOUSLY CHARGED OUT TO *(Name, agency and date)*:

REMARKS

DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS

SECTION III—TO BE COMPLETED BY REQUESTING AGENCY

TO: General Services Administration
Federal Records Center NARS
4205 Suitland Road
Suitland, Maryland 20409
(City) *(State)* *(Zip Code)*

NOTE: In Washington, D.C. area send to STOP 386

5011-108 NSN 7540-00-682-8423 *PREVIOUS EDITION USABLE* OPTIONAL FORM 11 (Rev. 9-79) Prescribed by GSA, FPMR (41 CFR) 101-11.4

FIGURE 6-7

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-531C, 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.

6E4

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. *

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M/PM/TD HAND
DEVELOPMENT RESOURCES CNTR

* Revised

REQUEST FOR OFFICIAL PERSONNEL FOLDER (SF 127)

NSN7540-00-634-4083

REQUEST FOR OFFICIAL PERSONNEL FOLDER
(SEPARATED EMPLOYEE)

1. DATE OF REQUEST: 3/2/XX

SECTION I—TO BE COMPLETED BY REQUESTING PERSONNEL OFFICE

2. CURRENT NAME (Last, first, middle): Parker, James L.

2a. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY (If different than Item 2):

3. [redacted]

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
NATIONAL PERSONNEL RECORDS CENTER
(Civilian Personnel Records)
111 WINNEBAGO STREET
ST. LOUIS, MO 63118

SUBMIT IN DUPLICATE FOR EACH FOLDER REQUESTED

Original will be used to send folder or reply to your agency.
Second copy retained by agency for its suspense files.
Third copy is for records center use.

5. PREVIOUS FEDERAL EMPLOYMENT

AGENCY AND BUREAU	LOCATION	FROM	TO
U.S. Dept. of Commerce	15th & Constition NW	May 1955	Nov. 1985

6. REASON FOR REQUEST (Check appropriate box)

☐ a. Currently employed. ☐ b. Temporary use. ☒ c. Pre-employment consideration. Will retain folder if hired

REMARKS

SECTION II—FOR USE BY RECORDS CENTER

☐ a. Folder enclosed.

☐ b. Our search did not reveal a record of claimed civilian Federal employment. Please submit any additional information or documentation that will help verify this employment.

☐ c. Folder not received. Suggest you contact last employing office.

☐ d. Folder not located. For a former employee of your agency, we suggest a further search of your agency. If still unlocated, verify name, date of birth, and social security number, and return request to NPRC together with the date folder was transferred to NPRC and several names, dates of birth, and social security numbers of other folders in same shipment.

☐ e. Folder was sent (Date) _____
To:

☐ Your agency

☐ f. Other _____

DATE	INITIALS

SECTION III—TO BE COMPLETED BY REQUESTING PERSONNEL OFFICE

NAME OF REQUESTER: Cynthia Blum

TELEPHONE NO.: 875-4007

Enter complete address to which folder or reply is to be mailed. Include ZIP Code.

127-109

STANDARD FORM 127 (Rev. 7-86)
Prescribed by NARA, 36 CFR 1228.154(e)

FIGURE 6-8

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

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.

*REVISED

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 mandatory. 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. Managing Local Storage Facilities

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

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"

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 A.I.D./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:

- Shelf space number,
- Originating office,
- Box number (if desired),
- Description of contents,
- Inclusive dates of contents,
- Date stored,
- Date to ship to A.I.D./W, or
- Date to destroy, and
- Classification.

5. Control in Local Storage

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 1 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 A.I.D./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.

6I. Supplies for Retiring Files

In A.I.D./W, records storage/shipping boxes and A.I.D. Form 5-45, Notification of Retirement of Inactive Files (Fig. 6-1), may be obtained from the A.I.D. 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 A.I.D. Records Disposition Schedule is shown in Appendix 6A-6C.

FORMAT FOR LOCAL STORAGE LOCATOR LOG

Space Number	Office	Contents	Disposition Schedule (give date)		COMMENTS
			Destroy	Ship AID/W	
1	Controller	FY XX Vouchers 1-96	10/1/XX		
2	Controller	FY XX Vouchers 1-160	10/1/XX		
3	C&R	Gen. Subj. - FY XX		10/1/XX	Screen for disposal material
4	"	" " "		"	
5					
6					
7	PAD	Proj. 085 Terminated 9/30/XX		10/1/XX	
8		CD	Loan 32	10/1/XX	Before shipping See Ms. Brown
9					
10					

Note: When a shelf space is emptied, erase the former identification. Make a copy for replacement information, if necessary.

FIGURE 6-9

APPENDIX 6A

RECORDS DISPOSITION SCHEDULE

A.I.D./W

INTRODUCTION

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

A. Authority. 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. Application of the Records Disposition Schedule. 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) Scope. 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 types described above by having them segregated from other files that may be destroyed under normal disposal procedures.

**New Material

C. Arrangement. 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.).

D. Description of Records. Each type of record covered in the Records Disposition Schedule is described as precisely as possible to permit easy identification within file groups or series, thereby eliminating the need for paper-by-paper screening.

E. Disposition Instructions. 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. Method of Destruction. 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. Records of Destruction. 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.

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.

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RECORDS DISPOSITION SCHEDULE--AID/W

I. RECORDS COMMON TO MOST OFFICES

ITEM NO.	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 organization, staffing, procedures, and communications; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may include copies of internal activity 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.	Destroy when 2 years old or when no longer needed, whichever is sooner. (GRS 23 Item 1)
	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.	

I. RECORDS COMMON TO MOST OFFICES

a. Cable or Telegram File

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) AID/Washington Communications Center 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 offices of the Agency's Washington headquarters as "easy reference" files.	Cut off at end of calendar 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 1B) *

b. Correspondence Files

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.

* Revised

I. RECORDS COMMON TO MOST OFFICES

* 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	Employee Travel Files		
		Correspondence copies of travel, authorizations, vouchers, itineraries, and other papers pertaining to employee travel, exclusive of records maintained in the Office of Financial Management.	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:	

* Revised

I. RECORDS COMMON TO MOST OFFICES

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. Letters of Transmittal

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)

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.	Program Correspondence Files Maintained at High Organizational Levels	
		Subject, name, or country files maintained by or for the immediate offices of the following Agency executives: the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy and that are filed centrally or in decentralized locations.	Permanent. 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.	Program Correspondence Files of Country 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.	All other Program Correspondence Files 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.

I. RECORDS COMMON TO MOST OFFICES

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:

01130	a. PPC/PB's printed record copy of annual budget submissions of overseas posts and AID/W Bureaus and Staff Offices.	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.)
01140	b. PPC/PB budget background files containing justifications, amounts requested and supporting papers.	Cutoff at end of budget year. Hold in office for 1 year, then retire to WNRC. Destroy 5 years after cutoff.
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.	Destroy 3 years after close of fiscal year covered by the budget. (GRS 5 Item 5B)

I. RECORDS COMMON TO MOST OFFICES

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.)
01170	b. Files documenting the preparation of the detailed Agency budget request to Congress, including supplementary schedules, exhibits, etc. The files contain documents used in Congressional budget presentations, providing, by years, the U.S. assistance, subdivided by major programs.	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.

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.

I. RECORDS COMMON TO MOST OFFICES

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, or when no longer needed, 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 records which have not been microfilmed and are transferred to the Washington National Records Center.	Permanent. Offer all project records to NARA. Those not accessioned, destroy immediately.
01260	h.	Reference copies of project documents maintained in various Agency offices.	Destroy upon termination of the project.

Project Plan and Engineering Files

01270	Copies of engineering plans and related material pertaining to individual projects.	Destroy in accordance with a. and b. above.

01280 Technical Project Feasibility Studies

Copies of studies, reports, and related correspondence pertaining to proposed projects which do not develop into projects. (If project is approved, materials are filed in project file.)	Cut off file at end of fiscal year. Hold in office for 1 yr., then retire to WNRC. Destroy when 5 yrs old.

* Revised

I. RECORDS COMMON TO MOST OFFICES

01300 Bureau Project Evaluation Files

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 Program (non-project) Procurement Files

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

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

I. RECORDS COMMON TO MOST OFFICES

01320	a.	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 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)
01340	c.	Routine materials containing <u>no</u> substative information regarding 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)

<u>Research Studies Files</u>

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

I. RECORDS COMMON TO MOST OFFICES

01350	a. Final reports of studies not described elsewhere in this schedule.	Permanent. Cut off at end of fiscal year. Retire to WNRC: transfer to NARA in 5 yr. blocks when most recent report is 10 yrs. 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.
01370	c. Reference copies of reports.	Destroy when no longer needed for reference.
01380	Audit Reports Files	
	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.)

I. RECORDS COMMON TO MOST OFFICES

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.

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.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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. Chronological Files	
	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 these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants.	See Chapter I, Item 01320

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Public Inquiries Files	
03010	Manatory Classification Review (MCR) Files	
	Reports and correspondence regarding inquiries from the public for information in the files which was classified. This review is made under POIA and the current Executive Order on National Security Information.	Cut off when action is completed. Hold in office for 2 yrs., then retire to WNRC. Destroy 30 yrs. after 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 (EXCLUDING the records requested, if filed therein)	
03020	1) Granting access to all the requested records.	Destroy 2 yrs. after date of reply. (GRS 14 Item 16 A1)
	2) Responding to requests for nonexistent records, to requestors who provide inadequate descriptions, and those who fail to pay Agency reproduction fees.	
03030	a. Request not appealed.	Destroy 2 yrs. after date of reply. (GRS 14 Item 16 A2)

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03040	b. Request appealed.	Destroy as authorized under Item 03080 below. (GRS 14 Item 16 A2)
	3) Denying access to all or part of the records requested.	
03050	a) Request not appealed.	Destroy 6 yrs. after date of reply. (GRS 14 Item 16 A3)
03060	b) Request appealed.	Destroy as authorized under Item 03080 below. (GRS 14 Item 16 A3)
03070	b. Official file copy of requested records.	Dispose of in accordance with approved disposition instructions for the related records, or the related FOIA request, whichever is later. (GRS 14 Item 16B)

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. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed therein)	Destroy 6 yrs. after final determination by Agency or 3 yrs. after final adjudication by courts, whichever is later. (GRS 14 Item 17A)

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03090	b. Official file copy of records under appeal.	Dispose of in accordance with 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.

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)

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

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	
	Records relating to the general Agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.	Destroy when 2 yrs. old or sooner if no longer needed for administrative use. (GRS 14 Item 20)
	News and Media Relations Files	
	Audio Visual Files	
	a. Original video tapes.	
* 03150	1) Important subjects that reflect the 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, counter-insurgency 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.	Permanent. Offer the original or earliest generation of recording and one dubbing (reference copy) to NARA in five-year blocks when the oldest tape is 10 yrs. old.
03160	2) Routine subjects that do not reflect the Agency's mission, such as management training films, or those used for training in narrow areas of technology such as "how to" build a bridge, irrigate a field, build a shed or house, maintain cattle, pasteurize milk, etc.	Destroy when no longer needed. (GRS 21 Item 20) *

* Revised

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03170	3) Automated index.	Permanent. Transfer index on magnetic tape in ASCII or EBCDIC format, including all necessary documentation, to 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.	
03180	a) Agency Sponsored Films: the original negative or color original plus separate sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print or a video recording.	Permanent. Offer to nara in 5 year blocks when the oldest film is 10 yrs. old.
03200	c) Agency acquired films: two projection prints or one projection print and a video recording.	Permanent. Offer to NARA in 5 year blocks when the oldest film is 10 yrs. old.

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03210	d) Unedited footage: the original negative or color original, work print, and an intermediate master positive or duplicate negative if one exists, appropriately arranged, labeled, and described.	Permanent. Offer to NARA in 5 year blocks when the oldest film is 10 yrs. old.
* 03230	2) Routine subjects that do not reflect the Agency's mission.	Cut off annually. 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.	
03240	a) Black & white negatives and captioned prints.	Permanent. Cut off annually. 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.

* Revised

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03260	c) Official portraits of senior Agency officials.	Permanent. Cut off annually. Offer to NARA negatives and captioned prints in 5 yr. blocks when the most recent records are 20 yrs. old.
* 03270	2) Routine subjects that do not reflect the Agency's mission.	Cut off annually. Destroy when one year old or when no longer needed. (GRS 21 Item 1) *
	d. Color Slides (35 mm)	
03280	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.	Permanent. Cut off annually. Offer original and duplicate to NARA in 5 yr. blocks when most recent records are 20 yrs. old.
03290	2) Routine subjects which do not reflect the Agency's mission.	Cut off annually. Destroy when one yr. old or when no longer needed, whichever is sooner.
	e. Film Strips	

* Revised

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

03300	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.	Permanent. Cut off annually. Offer original and duplicate to NARA in 5 yr. blocks when most recent records are 20 yrs. old.
03310	2) Routine subjects which do not reflect the Agency's mission.	Cut off annually. Destroy when one year old or when no longer needed whichever is sooner.
03320	f. Finding aids including indexes, catalogs, shelf lists, caption sheets.	Transfer to NARA or dispose of with related records. (GRS 21/63)
03330	<u>Biographical File on Senior AID Officials</u>	
	Background information on top AID officials or other key personnel for public dissemination.	Destroy when official leaves the Agency or when no longer needed, whichever is sooner.
03340	<u>Public Relations Files</u>	
	a. Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The speeches and addresses may be presented to executives from other Federal agencies, representatives of State or local governments, or private groups, such as college and university students, business associations, and cultural news media commentators.	Permanent. Cut off annually. Hold in office for 5 yrs., then retire to WNRC. Transfer to NARA in 5 yr. blocks when 20 yrs. old. (GRS 14 item 1a)

III. EXTERNAL AND PUBLIC AFFAIRS RECORDS

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

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

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Common Type Files	
04010	FVA Grant Files	
	Files pertaining to grants made under the several FVA programs. Including are copies of proposals; grant applications, agreements, and amendments; project, financial, progress, and evaluation reports; PIO's; and related documentation and correspondence.	Cut off when grant is terminated. Hold in office for 2 yrs., then retire to WNRC. Destroy 6 yrs. after termination of grant.
04020	Unsuccessful Grant Applications	
	Copies of applications of unsuccessful grant applicants and related documents and correspondence.	Cut off when grant is awarded. Hold in office for 2 yrs., then destroy.
	Private and Voluntary Cooperation Files	
04030	Ocean Freight Files	
	These files pertain to the reimbursement by AID for shipping expense incurred by voluntary agencies under "subvention" arrangements. Included are copies of procurement authorizations, Schedule D-Overseas Transportation, AID 1550 or equivalent, approval letters, etc., and related correspondence.	Cut off when file is closed. Hold in office for 2 yrs., then retire to WNRC. Destroy 5 yrs. after file is closed.
	Registered Agency Files	
	These files document the private voluntary agencies' applications for registration containing all supporting papers pertaining to the applicant agencies' legal, financial, and operational status.	
04040	a. Case Files on Individual Agencies	Cut off when Agency is removed from registry, then retire to WNRC. Destroy 5 yrs. after removal.
04050	b. Annual Financial Submission	Cut off annually. Destroy when 3 yrs. old.

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

04060 Denied Agency Registration Files

Applications and related correspondence pertaining to private voluntary organizations' registration. — Cut off after denial. Destroy 3 yrs. after denial.

Food for Peace Files

04070 Title I and III Voluntary Agency Agreement Files

Copies of agreements and related documentation pertaining to A.I.D. Agreements with host governments under Titles I and III of P.L. 480. — Cut off when agreement is terminated. Hold in office for 2 yrs., then retire to WNRC. Destroy 6 yrs. after cut-off.

Title II Bilateral Agreements

Files consisting of the original agreements between the U.S. (A.I.D.) and host governments under Title II of P.L. 480. Arrange alphabetically by country.

04080 a. Original Agreements — Permanent. Retire upon termination of agreements. Offer to NARA in accumulations of one cubic foot.

04090 b. Copies of Agreements — Destroy when agreement is terminated.

Section 416 Agreement Files

Files consisting of the original agreements between U.S. (A.I.D.) 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. Original Agreements — Permanent. Retire upon termination of agreements. Offer to NARA in 5 yr blocks, 5 yrs. after the most recent termination date.

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

04110	b. Copies of Agreements	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	a. Annual estimates of requirements (AERs) signed by A.I.D. and the private Agency and operational plans.	Permanent. Cut off annually. Hold in 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.
04130	b. All other program documentation including quarterly estimates, call forward agreements, cables for shipping instructions.	Cut off annually. Hold in office for 2 years, then transfer to WNRC. Destroy when 6 years old.
04140	Voluntary Agency Ocean Transport Files	
	Files including copies of Letters of Commitment, Procurement Authorizations, Expenditure Reports, etc., and related correspondence.	Cut off annually. Hold in office for 2 years, then retire to WNRC. Destroy when 6 years old.
04150	Agricultural Commodity Files	
	Reference copies of such documents as commodity specifications, technical studies, and general material on agricultural commodities used in the Food for Peace program.	Review annually. Destroy when superseded, obsolete, or no longer needed.

V. GEOGRAPHIC BUREAUS GENERAL RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
05010	Program Correspondence Files	
	Subject and Country Files of Country Desk Offices. These files document in a unique way the operations in U.S.A.I.D.s and reflect their problems and accomplishments. Arranged by subject and country as appropriate.	Cut off at end of fiscal year. Hold in office for 2 years, then retire to WNRC. Destroy when 10 years old.
05020	General Financial Files	
	Working files pertaining to financial management functions of the several geographic areas covering materials 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.	Cut off files at end of fiscal year. Hold in office for 3 years, then destroy.
05030	Congressional Notification and Congressional Presentation File	
	Working files containing information needed for presentation of the Bureaus' annual program and budget to Congress and any changes to the program that require congressional notification. They contain 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.	Close file at end of fiscal year. Hold in office for 1 year, then retire to WNRC. Destroy when 6 years old.

V. GEOGRAPHIC BUREAUS GENERAL RECORDS

Country Development Strategy Statement (CDSS) File

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

05040	a. Record copies maintained in Geographic Bureaus arranged by country and thereunder chronologically.	Permanent. Cut off annually. Hold in office for 3 years, then retire to WNRC. Transfer to NARA in 5 yr. blocks when most recent record is 10 yrs. old.
05050	b. Copies used for reference.	Destroy when no longer needed for reference.

Briefing Files

05060	Files consisting of reports prepared by A.I.D. staff members for A.I.D. officials anticipating visits to countries where A.I.D. has a mission. These reports contain pertinent information on the country to be visited and the current A.I.D. assistance program in the country.	Permanent. Cut files off annually. Hold in office for 3 years, then retire to WNRC. Transfer to NARA in 5 year blocks when most recent records are 10 years old, e.g. in 1987 offer 1973-77 records.

VI. LEGISLATIVE AND LEGAL AFFAIRS RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Congressional Correspondence Files	
	Correspondence between the Agency and members of Congress and signed by the Administrator, his Deputy, or the Director of Legislative Affairs. Arranged alphabetically by the name of the Congressional member.	
06010	a. Papers containing policy and precedent and requiring research which documents relations with Congress.	Cut off at the end of each Congress. Hold in office for 3 years, then retire to WNRC. Destroy when 10 years old.
06020	b. All other routine correspondence.	Cut off annually. Destroy when 2 years old.
06030	Correspondence Brief Briefs or drafts of letters to members of Congress prepared by the Office of Legislative Affairs	Destroy when no longer needed for reference.
06040	Committee Prints and Hearing Records	
	Copies of printed committee reports and Congressional hearings.	Destroy when no longer needed for reference.
06050	Litigation and Enforcement Case Files	
	Case files containing documents containing information on all dispute matters where A.I.D. is involved, such as contract disputes, civil or criminal litigation, etc. Files also containing legal information in the form of advice furnished to the Inspector General's office in the conduct of their investigations.	Cut off file when case is closed. Hold in office for 1 year, then retire to WNRC. Destroy 10 years after case is closed.

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 A.I.D. 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. Original paper copies microfilmed.	Destroy original paper records after verfication of film.
06070	b. Original silver master & duplicate	Permanent. Transfer to NARA in 5 yr. blocks when most recent record is 20 yrs. old.
06080	c. Original paper copies not microfilmed	Permanent. Offer to NARA in five-year blocks when most recent 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).

06090	1) Records including SF 278A for individuals filing according to Section 201b of the Act and not subsequently confirmed by the Senate.	Destroy 1 yr. after nominee ceases to be under consideration for appointments, EXCEPT that documents needed in an ongoing investigation will be retained until the investigation is completed.

VI. LEGISLATIVE AND LEGAL AFFAIRS RECORDS

06100	2) All other records including SF 278.	Destroy when 6 yrs. old, EXCEPT that documents needed in an ongoing investigation will be retained until the investigation is completed.
06110	b. All other statements of employment and interests and related records, including confidential statements filed under Executive Order 11222.	Destroy when 6 yrs. old EXCEPT that documents needed in an ongoing investigation will be retained until the investigation is completed.

VII. PRIVATE ENTERPRISE (PRE) RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	PRE Project Files	
	Files consisting of documentation pertaining to the management of grants, contracts, loans, and cooperative agreements between A.I.D. 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.	
07010	a. Published or unpublished reports (exclusive of interim project progress reports), project concept papers, and any other final project product.	Permanent. Cut off at close of project. Retire to WNRC. Transfer to NARA in 5 yr. blocks when most recent records are 10 yrs. old, (e.g., in 1987 offer 1973-77 records.)
07020	b. All other project records.	Cut off when project is completed or loan is paid, as applicable. Hold in office for 2 years, then retire to WNRC. Destroy 6 years after completion of project.
07030	Status Reports on Loans	
	Reports on private sector initiative loans showing disbursements, payment progress, etc., on status of outstanding loans.	Cut off annually. Destroy when 1 year old.
07040	Unsuccessful Investment Opportunity Proposals	
	Proposals from businesses which did not result in a loan.	Cut off when withdrawn or denied. Hold in office for 2 years, then destroy.

VII. PRIVATE ENTERPRISE (PRE) RECORDS

07050 Company Correspondence Files

General correspondence between A.I.D. and enterprises in the private sector on all aspects of the A.I.D. program for encouraging the participation of the U.S. private sector in financial transactions which can accelerate the development process overseas. — Cut off annually. Hold in office for 2 years, then destroy.

Housing and Urban Development Project Files

Case files on housing construction under the A.I.D. 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 related materials. — Cut off when loan is paid. Hold in office for 3 yrs., then destroy.

07070 b. Inspection reports on housing construction. — Cut off when construction is completed. Hold in office for 3 yrs., then destroy.

07080 c. General correspondence. — Destroy when 2 yrs. old.

07090 Studies and Reports on Shelter Activities and Housing Guaranty Programs

Studies and reports on various aspects of the A.I.D. worldwide shelter sector activities, including the Housing Guaranty Program. Arranged by subject. — Permanent. Cut off annually. Then retire to WNRC. Transfer to NARA in 5 yr. blocks when most recent record is 10 yrs. old.

VIII. PROGRAM AND POLICY COORDINATION RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Donor Coordination Files	
08010	International Organizations Files	
	a. Correspondence, reports, agendas, and minutes of meetings of consultative groups and subsidiary and affiliated organizations regarding development assistance and A.I.D. liaison with such organizations.	Permanent. Cut off annually. Hold in office for 3 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.)
08020	b. Working papers for conference sessions, such as delegate lists, admission cards and badges, correspondence on arrangements, and duty schedules.	Destroy 1 year after date of conference.
08030	c. Files regarding programs of the UN and its affiliated organizations, which show a relation to cooperating countries and A.I.D. liaison.	Permanent. Cut off annually. Hold in office for 3 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.)
08040	d. Reports of international conferences attended, providing the Administrator with a brief report of the conference or meeting.	Permanent. Cut off annually. Hold in office for 3 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.)

VIII. PROGRAM AND POLICY COORDINATION RECORDS

08050	e. Development Assistance Coordination (DAC) donor files, consisting of correspondence and other documents relating to specific donors, bilateral relations between A.I.D. and others, and information on various donor programs.	Permanent. Cut off annually. Hold in office for 3 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.)
08060	National Advisory Council on International Monetary and Financial Policies Files	
	Files accumulated by A.I.D. documenting the activities of the Council, chaired by the Treasury Department, and its periodic meetings.	Cut off annually. Hold in office for 3 years after cutoff, then retire to WNRC. Destroy when 10 years old.
08070	Multilateral Development Banks Files	
	Files documenting A.I.D.'s relations with multilateral development banks, such as the World Bank, International Development Bank, etc., consisting of minutes of meetings, bank policy statements, and related correspondence.	Permanent. Cut off annually. Hold in office for 3 years after cutoff, then retire to WNRC. Offer to NARA in 5 yr. blocks, when most recent record is 20 yrs. old. (e.g., in 1987 offer 1963-67 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 A.I.D. programs.	

VIII. PROGRAM AND POLICY COORDINATION RECORDS

08080	a. Final products of this series: ° Impact Evaluation Reports, ° Discussion Papers, ° Special Studies, ° Program Evaluation Reports, and ° Program Design and Evaluation Methods Files.	Permanent. Cut off annually. Hold in office for 3 years after cutoff, then retire to WNRC. Offer to NARA in five-year blocks when most recent record is 20 years old. (e.g., in 1987 offer 1963-67 records.)
08090	b. Background files and related correspondence.	Cut off annually. Hold in office for 3 years, then retire to WNRC. Destroy when 6 years old.
08100	Project Evaluation Summaries (PES) Files Files pertaining to in-depth studies and analyses of the social and economic impact of alternative types of strategies, programs and projects on the lives of foreign assistance beneficiaries. Included are copies of studies and analyses and related correspondence. These files are not duplicated in the Impact Evaluation records (Item 08080 above).	Permanent. Cut off annually. Hold in office for 3 years after cut off, then retire to WNRC. Offer to NARA in five-year blocks when most recent record is 20 years old. (e.g., in 1987, offer 1963-67 records.)

Budget Files

Agency Budget Files

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

IX. SCIENCE ADVISOR RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	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. after rejection or withdrawal.
09020	b. Accepted applications.	Dispose of with related grant case file (see Items 09030-09040 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	a. Project reports and studies produced under the grant.	Permanent. Cut off files when closed. Hold in office for 2 yrs., then retire to WNRC. Transfer to NARA in 5 yr. blocks when most recent record is 20 yrs. old.
09040	b. All other documentation related to the grant.	Cut off files when case is closed. Hold in office for 2 yrs., then retire to WNRC. Destroy when 6 yrs. old.

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	S&T Project Files	
	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	a. Project papers and published or unpublished reports (exclusive of interim project progress reports), books, studies, or any other final product.	Permanent. Cut off at close of project. Offer to NARA in five-year blocks when most recent record is 10 years old. (e.g., in 1987, offer 1973-77 records.)
10020	b. All other project records.	Cut off when project is terminated. Hold in office for 2 years, then retire to WNRC. Destroy 6 years after termination of project.
10030	c. Closed project records stored in WNRC.	Permanent. Offer all project records to NARA. Those not accessioned, destroy immediately.
	Unsolicited Project Proposals	

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

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 years, then destroy.
10060	Memoranda of Understanding (MOU) Files	
	Copies of signed MOU's with universities regarding the scope of work to be performed by institutions under A.I.D. strengthening grants and contracts. Included is related correspondence.	Cut off when MOU is cancelled or superseded. Hold in office for 2 years, then retire to WNRC. Destroy 6 years after termination of related project.
10070	Sector Council Files	
	Files pertaining to the activities of several A.I.D. councils or committees composed of appropriate A.I.D. staff members to advise the Agency in the various areas (sectors) of A.I.D. development assistance to host countries. Included are meeting agendas, minutes of meetings, copies of papers prepared by the councils, and related records and correspondence. Arranged chronologically within sector councils.	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Transfer to NARA when most recent record is 10 yrs. old.
10080	International Organizations Files	
	These files consist of correspondence, reports, and records of meetings and conferences pertaining to A.I.D. interest in the organization, planning, and operations of international organizations (such as the Consultative Group on International Agricultural Research (CGIAR) in A.I.D. areas of concern. Arranged by organization and thereunder chronologically.	Permanent. Cut off annually. Hold in office for 3 yrs., 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.)

X. SCIENCE AND TECHNOLOGY (S&T) 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 agendas, minutes of meetings, and related documentation on RAC meetings. Arranged chronologically.	Permanent. Hold in office for 3 yrs., then retire to WNRC. Transfer to NARA in 5 yr. blocks when most recent record is 10 yrs. old. (e.g., in 1987 offer 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	c. Administrative files documenting the routine housekeeping functions supporting RAC activities.	Cut off file annually. Hold in office for 2 yrs. then destroy.

Joint Career Corps (JCC) Files

Files consist of correspondence and other records pertaining to the recruitment of members into the JCC and A.I.D. 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.

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

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 A.I.D. and the National Science Foundation for the latter Agency to review A.I.D. research projects for scientific soundness before actual commitment. Included are correspondence, reports, and other documentation relating to the National Science Foundation's involvement in A.I.D. project research activity.	
10150	a. Reports	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 year 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, program and evaluation material documenting criteria for participant selection and processing; preparation and use of PIO/P's; training policies within the US and host countries administration of technical service contracts; selection of training sites and predeparture briefing, post facility and orientation and relationship with training organization.	Permanent. Cut off annually. Hold in office 3 yrs. then retire to WNRC. Offer to NARA in 5 year blocks when most recent record is 10 yrs. old. (NC 1-286-76-3)/(TRG; TRG 2, 2-2, 7, 9, 9-1, 9-2, 11, 12, 12-1.)
10180	b. Routine administrative and evaluative correspondence regarding any phase of participant training program.	Cut off annually. Hold in office 2 yrs. then retire to WNRC. Destroy when 5 years old. (NC 1-286-76-3)/(TRG; TRG 8-1, 9, 11-2, 12b)
10190	c. Record copy of training aids developed by the Agency.	Permanent. Cut off annually. Hold in office 3 yrs. 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)
10200	d. Reports, directories and studies to evaluate effectiveness of training methods and techniques in specific fields of activity, country, or overall participant training program.	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 year blocks when latest record is 10 yrs. old. (NC 1-286-76-3)/(TRG 6)

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

10210	e. Records pertaining to third country training which includes agreements, correspondence, and reports.	Permanent. Cut off annually. Hold in office 3 yrs. then retire to WNRC. Offer to NARA in 5 year 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:	
10230	a. Selected one file for each training field; e.g., agriculture, education, health, etc.	Cut off after closeout. Hold in office 2 yrs. then retire to WNRC. Destroy 20 yrs. after cutoff. (NC 1-286-76-3)/(TRG (a))
10240	b. Files for all V.I.P.'s and potential professional leaders.	Cut off when case is closed Hold in office 2 yrs. then retire to WNRC. Destroy 20 yrs. after cutoff.
10250	c. Files for all outstanding participants whose achievements are an asset to their country and a testimony to the success of A.I.D. programs.	Cutoff after closeout. Hold in office 2 yrs. then retire to WNRC. Destroy 20 yrs. after closeout.
10260	d. All other records.	Cut off after closeout. Hold in office 2 yrs. then retire to WNRC. Destroy 5 yrs. after cut off. (NC 1-286-76-3)/(TRG e)

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

10270	Printouts containing summary data for each trainee or training project.	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 year blocks when latest record is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.) (NC 1-286-76-3)/(TRG)
10280	Card files and other summary data for each trainee or training project (except computer tapes and printouts and reports described elsewhere in this schedule.)	Destroy upon transfer of data to computer tapes. (NC 1-286-76-3)/(TRG)
10290	Copies of participating agency service agreements and conformed copies of contracts with colleges and universities or professional societies that serve to document arrangement for participant training.	Cut off annually. Hold in office 2 years then retire to WNRC. Destroy when 5 years old. (NC 1-286-76-3)/(TRG)
10300	Participant English Testing and Training Report, Report Control Symbol U-1380/7, or equivalent, summarizing all English language testing and training activities carried on for participants by or under the direction of the Mission.	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 year blocks when latest record is 10 yrs. old. (e.g., in 1987 offer 1973-77 records.) (NC 1-286-76-3)/(TRG 11-1)
10310	"Returned Participants Follow-up Activities," annual report No. U-418, or equivalent, containing a summary of all significant followup activities carried out during the reporting period on returned participants.	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 year blocks when latest record is 10 yrs. old. (NC 1-286-76-3)/(TRG 8)

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

10320	Monthly Returned Participant Follow-up Data, Report Control Symbol U-1380/6, or equivalent.	Cut off annually. Maintain in office for 1 yr. then destroy. NC 1-286-76-3/(TRG 8)
	Participant Training Directories, newsletters and other issuances prepared for use of participants, SER/IT, and other A.I.D. 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 1-286-76-3)/(TRG 10a)
10331	b. Distributed copies.	Destroy when obsolete. (NC 1-286-76-3)/(TRG 10b)
10340	Report on contracts, made by team leaders or managers of participant groups concerning industries or agencies visited.	Cut off annually. Maintain in office 2 yrs. then retire to WNRC. Destroy when 5 yrs. old. (NC 1-286-76-3)/(TRG 7)
10350	Case files for individual facilities, arranged alphabetically by name of facility, field of activity, or location.	Review annually. Cut off closed case files. Hold in office 2 yrs. then retire to WNRC. Destroy when 20 yrs. old. (NC 1-286-76-3)/(TRG 7)
	Travel and Interperter services:	

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

10360	a. Files regarding participant and dependent travel, purchases, ownership and operation of automobiles, interpreter services, insurance, waiver of visa requirements, and handling of illness and death cases.	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 year blocks when latest record is 10 yrs. old. (NC 1-286-76-3)/(TRG 9-3)
10370	b. Interpreter services, policy and procedures files.	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 year blocks when latest record is 10 yrs. old. (NC 1-286-76-3)/ (TRG 9-3)
10380	c. Case files containing copies of contracts and bio-data of individual interpreters.	Review annually. Cut off closed files. Hold in office 2 yrs. then retire to WNRC. Destroy 5 yrs. after completion of assignment or upon termination of participant training program. (NC 1-286-76-3)/(TRG 9-3)
10390	d. Case files containing letters of assignment, vouchers, and payroll information for individual interpreters.	Cut off closed files. Destroy 1 yr. after completion of assignment. (NC 1-286-76-3)/(TRG 9-3)
	Training Conference Materials:	
10400	a. Papers regarding conferences attended by participants in connection with training programs, indicating number in attendance, dates, places, and itineraries.	Cut off annually. Destroy when 2 yrs. old. (NC 1-286-76-3)/(TRG 3)

X. SCIENCE AND TECHNOLOGY (S&T) RECORDS

10410	b. Material describing training courses available to participants, including prospectuses.	Cut off annually. Hold in office 2 yrs. then retire to WNRC. Destroy when 5 yrs. old. (NC 1-286-76-3)/(TRG 4)
10420	Correspondence and related material regarding methods to assure continuing contact with participants after training to develop maximum potential of individual participants.	Cut off annually. Hold in office 2 yrs. then retire to WNRC. Destroy when 20 yrs. old. (NC 1-286-76-3)/(TRG 8)

XI. FOREIGN DISASTER ASSISTANCE RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
11010	Administrative Files	
	This series documents the daily administrative needs and functions of the office. The series consist of files covering such subject matter as: general administrative matters, budget planning and approvals, funds accounting and general audit instructions, routine housekeeping and office supply needs, personnel 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 A.I.D. Handbook 21, Part II. The file media is paper.	Cut off file at the end of the fiscal year of creation. Hold in active office space for 1 yr. after cutoff, then retire to WNRC. Destroy when 3 yrs. old. (NC1-286-82-1)
	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.	
11020	Program Files	
	This series consists of technical subjects. Files contain documents relating to disaster assistance in cooperating countries that coordinate with international organizations, U.S. voluntary agencies, and U.S. private sector; correspondence consists of incoming and outgoing cables, reports, letters, memos, notices, etc.	Permanent. Cutoff at the end of the fiscal year of creation. Hold in active office space for 2 yrs. after cutoff. Retire to WNRC. Offer to NARA when 10 yrs. old in 5 year blocks. (NC1-286-82-1)
	Document classification and file maintenance is in accord with A.I.D. Handbook 21, Part II, in alphanumeric format.	
	This office is considered the office of record of the subject matters contained in this series.	

XI. FOREIGN DISASTER ASSISTANCE RECORDS

11030 Policy Files

This series consist of letters, memos, directives, etc., on OFDA's policies on natural disasters. Includes congressional guidelines, GC rulings, etc.

Permanent. Cutoff at the end of fiscal year of creation, make office copy and send originals to WNRC. Offer to NARA when 10 yrs. old in 5 year blocks. (NC1-286-82-1)

Foreign Disaster Assistance Project Files

11040 a. Documentation relating to disaster assistance in cooperating countries. Records consist of such documents as disaster declarations, requests for assistance, newspaper clippings, news bulletins, project implementation orders (PIO/C's PIO/T's), contracts, situation and other reports, and correspondence (letters, memos, cables) on disasters that coordinate with international organizations, U.S. voluntary agencies and the U.S. private sector.

Permanent. Cut off at the close of disaster. Hold 2 yrs. the retire to WNRC. Transfer to NARA in 5 yr. blocks when most recent record is 10 yrs. old. (NC1-286-82-1)

11050 b. Undeclared disasters occur when "disaster" situations exist but are not officially recognized as disasters by the American ambassador to the cooperating country. Undeclared disaster files contain documents relating to other agency assistance in cooperating countries. The files consist of cables, letters, memos, and reports.

Cut off at the close of disaster. Hold 2 yrs. then retire to WNRC. Destroy 5 yrs. after cutoff. (NC1-286-82-1)

Non-Record Material

This series consists of Technical Reference Material and Reference Material.

XI. FOREIGN DISASTER ASSISTANCE RECORDS

11060	a. Technical Reference material would be documents such as maps, drafts, library, and museum publications, etc.	Destroy when obsolete or has been superseded. (NC1-286-82-1)
11070	b. Reference Material would be documents such as obsolete directives, extra copies, chron copies, manual orders, notices, reading file, suspense files, routing slips, etc.	Destroy when no longer needed. (NC1-286-82-1)

XII. ADVISORY COMMITTEE ON VOLUNTARY FOREIGN A.I.D. RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
12010	Committee Meeting Files	
	General correspondence, copies of meeting agendas, minutes, and other documentation pertaining to the proceedings of the individual meetings. Arranged chronologically. (1 cu. ft. per year)	Permanent. Cut off annually. Hold in office for 3 yrs., 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)
12020	Files on Individual Committee Members	
	Copies of resumes, travel records, and other pertinent administrative records.	Cut off files when membership is 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 destroy.

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

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Meeting Files	
	Files consisting of such records as notices to the Federal Register, agendas and minutes of meetings, discussion papers, transcripts of proceedings, and related correspondence.	
13010	a. Board for International Food and Agricultural Development (composed of 7 Board members from the private sector) meetings files.	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 year blocks when latest record is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.)
13020	b. Joint Committee on Agricultural Research and Development (JCARD) meeting files. JCARD is composed of 20 members and is a subcommittee of the Board.	Permanent. Cut off annually. Hold in office for 3 yrs., then retire to WNRC. Offer to NARA in 5 year blocks when latest record is 10 yrs. old. (e.g., in 1987, offer 1973-77 records.)
13030	c. Bi-annual charters for the board, correspondence relating to the charters and amendments to the charter.	Permanent. Cut off files bi-ennially. Hold in office for 3 yrs. Offer to NARA in accumulations of one cubic foot.
13040	Agricultural Projects Case Files	
	Documents accumulated in the initial development of agricultural projects under grants with universities. The official project files on these projects are maintained by the Geographic Bureaus.	Cut off when BIFAD has completed its work on initial project negotiations. Destroy 3 yrs. after cut-off.

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

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	AUTHORIZED DISPOSITION
	Formal Directives, Procedural and Operating Manuals. 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 functions.	Permanent. Cut off files annually. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 year 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 the development of the issuance.	Cut off files annually. See Item 14010 above. (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.c)
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)

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

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	a. Record copy with the supporting papers which document the inception, scope and purpose of the project.	Permanent. See Chapter 1 Items 01390-01410.
14060	b. Working papers and background materials.	Destroy when 1 yr. old. (GRS 16/2.b)

Records Disposition Files

Descriptive inventories, disposal authorizations, schedules, and reports.

14070	a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt, and related documentation.	Destroy when related records are destroyed, or when no longer needed, whichever is sooner.
14080	b. Extra copies and routine correspondence and memoranda.	Destroy when no longer needed for reference.
14090	c. Working papers and background material.	See item 14180 of this schedule. (GRS 16/11)

Forms Files

14100	a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.	Cut off when related form is discontinued, superseded or cancelled. Destroy 5 yrs. after related form is discontinued, superseded, or cancelled. (GRS 16/4.a)

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14110	b. Working papers, background materials, requisitions, specifications, processing data, and control records.	Destroy when related form is discontinued, superseded, or cancelled. (GRS 16/4.b)
14120	Management Improvement Reports	
	Copies of reports submitted to the Office of Management and Budget and related analyses and feeder reports.	Permanent. Cut off files annually. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 yr. blocks when 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	a. Records held by the office which prepares reports on Agency-wide records holdings.	Cut off annually. Destroy when 3 yrs. old. (GRS 16/6.a)
14140	b. Records held by other offices.	Destroy when 1 yr. old. (GRS 16/6.b)
14150	Project Control Files	
	Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	Destroy 1 year after the year in which the project is closed. (GRS 16/7)

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14160 Reports Control Files

Case files maintained for each Agency report created or proposed, including 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, revision, and discontinuance of reporting requirements.	Cut off when report is discontinued. Destroy 2 yrs. after the reports is discontinued. (GRS 16/8)

14170 Working Papers

Project background records, such as studies, analyses, notes, drafts, and interim reports.	Cut off annually. Destroy 6 months after final action on project report or 3 yrs. after completion of report if no final action is taken. (GRS 16/10)

14180 Records Management Files

Correspondence, reports, authorizations, and other records that 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 program; and all other aspects of records management not covered elsewhere in this schedule.	Cut off annually. Hold in office 1 yr. Retire to WNRC. Destroy when 6 yrs. old. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference. (GRS 16/11)

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14190 Organizational Files

	a. Organizational charts and reorganizational studies. Graphic illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies of an agency. Reorganization studies are conducted to design an efficient organizational framework most suited 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.	Permanent. Cut off files annually. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 year blocks when 20 yrs. old (e.g., offer 1970-74 block in 1995). (GRS 16/13.a)
14200	b. Functional statements. Formally prepared descriptions of the responsibilities assigned to the senior executive officers of the agency at the division level and above. If the functional statements are printed in the Code of Federal Regulations (CFR), they are not designated for preservation as a separate series.	Permanent. Cut off files annually. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 yr. blocks when 20 yrs. old (e.g., offer 1970-74 block in 1995). (GRS 16/13.b)
14210	c. Agency histories and selected background materials. Narrative agency histories including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the Agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention. Excluded are electrostatic copies of agency documents made for convenient reference.	Permanent. Cut off files annually. Hold in office for 3 yrs. then retire to WNRC. Offer to NARA in 5 yr. blocks when 20 yrs. old (e.g., offer 1970-74 block in 1995). (GRS 16/13.c)

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14220 Feasibility Studies

Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives to the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.

Cut off files when study is complete. Destroy when the study is 5 yrs. old. (GRS 16/14)

14230 Emergency Planning Administrative Correspondence Files

Correspondence files relating to administration and operation of the emergency planning program, not covered by Items 14010-14040 or elsewhere in this schedule.

Cut off files annually. Destroy when 2 yrs. old. (GRS 18/27)

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 a. One record copy of each plan or directive issued, if not included in the Agency's permanent set of master directives files.

Permanent. Cut off when superseded or obsolete. Offer to NARA when 15 yrs. old in 10 yr. blocks (e.g., offer 1970-79 block in 1995). (GRS 18/28.a)

14250 b. Case file copy of plan or directive if Agency record copy is maintained in a master directives file and all related background materials.

Destroy 3 yrs. after issuance of a new plan or directive. (GRS 18/28.b)

XIV. ADMINISTRATIVE MANAGEMENT RECORDS

14260 Emergency Directives Reference Files

Copies of directives and plans issued by the Agency (other than those maintained in case files described in Items 14240-14250 above), as well as those issued by FEMA, other Federal agencies, State and local governments, and the private sector.	Destroy when obsolete or superseded. (GRS 18/29)

14270 Emergency Planning Reports

Agency reports or operations tests, consisting of consolidated or comprehensive reports reflecting Agency-wide results of tests conducted under emergency plans.	Permanent. Cut off when related plan or directive becomes obsolete or is superceded. Offer to NARA when 15 yrs. old in 10 yr blocks (e.g., offer 1970-79 block in 1995). (GRS 18/30)

14280 Emergency Operations Tests Files

Files accumulating from tests conducted under Agency emergency plans, such as 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).	Cut off files annually. Destroy when 3 yrs. old (GRS 18.31)

XV. FISCAL MANAGEMENT RECORDS

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	AUTHORIZED DISPOSITION
	Accountable Officer Account Files	
	Accountable Officers' Files	
15010	a. 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 vouchers, and all other schedules and vouchers or 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. 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.	Cut off files after period covered by account. Hold in office 3 yrs. then retire to WNRC. Destroy 6 yrs. and 3 months after period covered by account. (GRS 6/1.a)

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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,	Scheudle of Undeliverable Checks for Credit to Government Agencies
OF 1218,	Statement of Accountability (Foreign Service Account)
OF 1219,	Statement 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).

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15020	b. Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related papers not covered elsewhere in this schedule, and excluding freight records covered by Chapter XX and payroll records covered by Chapter XV.	Cut off files after period covered by account. Destroy 3 yrs. after the period of the account. (GRS 6/1.b)
15030	GAO Exceptions Files	
	General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.	Destroy 1 yr. after exception has been reported as cleared by GAO. (GRS 6/2)
	Certificates of Settlement Files	
	Copies of certificates and settlement of accounts of accountable officers, statements of differences, and related records.	
15040	a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	Cut off files after settlement. Destroy 2 yrs. after date of settlement. (GRS 6/3.a)
15050	b. Certificates covering periodic settlements.	Destroy when subsequent certificate of settlement is received. (GRS 6/3.b)
15060	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 15010-15020 of this chapter.	Cut off files annually Destroy when 3 yrs. old. (GRS 6/4)
	Accounting Administrative Files	
	Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.	

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15070	a. Files used for workload and personnel management purposes.	Cut off files annually. 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 Surety Bond Files	
	a. Official copies of the bond and attached powers of attorney.	
15090	1) Bonds purchased before January 1, 1956.	Destroy 15 yrs. after bond becomes inactive. (GRS 6/6.a)
15100	2) Bonds purchase after December 31, 1955.	Destroy 15 yrs. after the end of the bond premium period. (GRS 6/6.a.(2))
15110	b. Other bonds files, including other copies of bonds and related papers.	Destroy when bond becomes inactive or after the end of the bond premium period. (GRS 6/6.b)
15120	Gasoline Sales Tickets	
	Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.	Cut off files annually. Destroy after GAO audit or when 3 yrs. old, whichever is sooner. (GRS 6/7)
	Telecommunications Records	
15130	a. Originals and copies of toll tickets filed in support of telephone toll call payments.	Cut off files annually. Destroy after GAO audit or when 3 yrs. old, whichever is sooner. (GRS 6/8)

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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	Transportation Voucher Files	
	Vouchers identified by "T" prefixed to the voucher and schedule of payment number which involves U.S. Tariff rates.	Cut off files when paid.* Destroy 10 yrs. after payment. *Note: Vouchers are sent to GSA for review on monthly basis.
15160	Claims Files	
	Documentation and claimants who suffer loss of property and effects and other loss.	Cut off files when resolved. Hold in office 3 yrs. then retire to WNRC. Destroy 6 yrs. after settlement of claim.
	Expenditure Accounting Files	
15170	Expenditures Accounting General Correspondence and Subject Files	
	Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.	Cut off files annually. Destroy when 2 yrs. old. (GRS 7/1)
	Accounting Ledgers	
15180	a. General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.	Cut off files annually. Hold in office 3 yrs. then retire to WNRC. Destroy 6 yrs., 3 months after the close of the fiscal year involved. (GRS 7/2)

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15190	b. Appropriation Allotment Ledgers showing status of obligations and allotments under each authorized appropriation.	Cut off files annually. Hold in office 3 yrs. then retire to WNRC. Destroy 6 yrs. 3 months after the close of the fiscal year 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.	
15200	a. Original records.	Cut off files annually. Destroy when 3 yrs. old. (GRS 7/4.a)
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. (GRS 2/1)

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15230 Payroll Correspondence Files

General correspondence files maintained by payroll units pertaining to payroll preparation and processing.	Cut off files annually. Destroy when 2 yrs. old. (GRS 2/2)

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. old, whichever is sooner. (GRS 2/3.a.(1))
15250	2) All other copies.	Destroy 6 months after the end of the pay period. (GRS 2/3.a.(2))

15260 b. Flexitime Attendance Records.

Supplemental time and attendance records, such as sign-in/sign-out sheets and work reports, used for time accounting under Flexitime systems.	Cut off files annually. Destroy after GAO audit or when 3 yrs. old, whichever is sooner. (GRS 2/3.b)

XV. FISCAL MANAGEMENT RECORDS

15270 Individual Pay Case Files

Folders containing documents pertaining to employees pay history including allotments from purchases documents, leave data, SF 50s, payroll change slips, income tax and retirement material, levied and garnishment records and related other documents and correspondence.

Cut off files when employee separates. Hold in office 3 yrs. then retire to WNRC. Destroy 7 yrs. after separation of employee.

(1) NOTE: This item brings together 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 bring 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 Bond Registration Files

Issuing agent's copies of bond registration stubs.

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

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15290 Bond Receipt and Transmittal Files

Receipts for transmittals of U.S. Savings Bond and checks.	Destroy 3 months after date of receipt. (GRS 2/6)

15300 Budget Authorization Reference Files

Copies of budget authorizations 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.

15310	a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, with related papers.	Destroy when Federal Record Center receives second subsequent payroll or checklist covering the same 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. old, whichever is sooner. (GRS 2/13.b.(1))
15330	2) If earning record card is not maintained.	Transfer to NPRC, St. Louis, Missouri when 3 yrs. old. Destroy when 10 yrs. old. (GRS 2/13.b.(2))

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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)

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. old, 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 2/17.b)

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15390 Insurance Deduction Files

Reports and related papers including copies of vouchers and schedules of payments pertaining to insurance deductions.	Cut off files annually. Destroy when 3 yrs. old. (GRS 2/22)

15400 Wage Survey Files

Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	Cut off files after completion of wage survey. Destroy after completion of second succeeding wage survey. (GRS 2/24)

Loan Services Files

15410 Loan Files

Folders containing loan agreements, loan guaranty documents, selected project implementation letters (PILS), amortization schedules, and related documents pertaining to loans with host counties under foreign aid program.	Cut off files when loan is paid. Hold in office 3 yrs. then retire to WNRC. Destroy 6 yrs. 3 months after loan is paid and no claims are outstanding.

Payment Files

	These files consist of:	Cut off files when payment is made. Hold in office 3 years then retire to WNRC. Destroy 6 yrs. 3 months after payment.
15420	a. Payment records on grants and contracts, including investment guarantee contracts, with private contractors.	
15430	b. Letters of commitments and related documentation pertaining to program funded projects with host countries.	Cut off files when payment is made. Hold in office 3 years then retire to WNRC. Destroy 6 yrs. 3 months after payment.

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15440	c. Bank letters of credit.	Cut off files when payment is made. Hold in office 3 years then retire to WNRC. Destroy 6 yrs. 3 months after payment.
	Ledgers	
	Investment Guaranty and loan accounting records showing totals of payment activity.	
15450	a. Investment Guaranty Ledger showing amounts of coverage and prepayments for each contract.	Destroy 6 yrs. 3 months after contract termination.
15460	b. Investment Guaranty General Ledger showing monthly totals reflecting activity.	Destroy 6 yrs. 3 months after contract termination.
15470	c. Individual Loan Ledger.	Destroy 6 yrs. 3 months after final payment or determination that loan is uncollectable.

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.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Building Services Records	
16010	a. Requisition for nonpersonal services such as laundry, telephone, duplicating, and bindings.	Destroy when 1 yr. old. (GRS 3/8)
16020	b. Plant accounting cards and ledgers pertaining to structures.	Destroy when structures leave A.I.D. control.
16030	c. Requests for building and equipment maintenance, moving service, and electrical (including renovation), except fiscal copies.	Destroy 2 yrs. after completion of work or cancellation of requisition. (GRS 3/9.a)
	Building Protection Records	
16040	a. Security check on lock cabinet forms, record of personnel opening and closing combination or lock files or vaults each day, or performing room security check at close of day.	Destroy when 1 yr. old. (GRS 18/19)
16050	b. Copies of security inspections of Government and privately owned buildings.	Destroy when 4 yrs. old. (GRS 18/10 and 11)
16060	c. Copies of investigative reports of fires or other property damage and reports of minor building damage.	Destroy when 2 yrs. old. (GRS 18/12)

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	d. Material regarding accountability of keys issued:	
16070	1) For security area	Destroy 3 yrs. after turn-in of key. (GRS 18/17.a)
16080	2) For nonsecure areas	Destroy 6 months after turn-in of key. (GRS 18/17.b)
16090	e. Registers or logs of visitors admitted to security areas.	Destroy 2 yrs. after final entry or 2 yrs. after date of document, as appropriate. (GRS 18/18.b)
16100	Building and Occupant Safety Records	
	Material regarding protection of buildings and occupants from damage or injury. Includes fire drills, civilian defense measures such as designation of shelter areas, etc.	Cut off files annually. Destroy when 3 yrs. old.
	Telephone Use Records	
16110	a. General correspondence on telephone and radio service, not involving interagency agreements.	Cut off files annually. Destroy when 3 yrs. old. (GRS 12/2.b)
16120	b. Interagency agreements for A.I.D. use of telephone facilities.	Cut off files after termination of agreement. Destroy 2 years after termination of agreement. (GRS 12/2.e)
16130	c. Telephone installation or service general files.	Destroy when 3 yrs. old. (GRS 12/2.b)
16140	d. Telephone statements and toll slips.	Dispose of with covering voucher. (GRS 6/8)

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16150	e. Telephone directories.	Destroy when superseded or obsolete. (non-record)
	Equipment and Supplies Records	
16160	a. General routine correspondence regarding receipt, transfer, and assignment of personal property.	Cut off files annually. Destroy when 2 yrs. old. (GRS 3/3 and 4/4)
16170	b. Requisitions for supplies and equipment from current inventory.	Cut off files when 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.
16210	d. Inventory listings of supplies and equipment.	Cut off files when equipment is transferred. Destroy 2 yrs. after date 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)
16230	f. Property pass files authorizing removal to personal custody of government property.	Destroy 3 months after return of property. (GRS 18/13)
16240	g. Files of Reports of Excess Personal Property (SF 120) and correspondence relating to personal property disposal.	Cut off files annually. Destroy when 3 yrs. old. (GRS 4/5)

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16250	h. Quarterly Utilization and Disposal of Excess and Surplus Personal Property Reports.	Cut off files annually. Destroy when 3 yrs. old. (GRS 4/5)
16260	i. Excess Property Disposal Record describing model number, acquisition cost, and market value.	Cut off files annually. Destroy when 3 yrs. old. (GRS 4/5)
	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 final payment.
16280	2) Transactions of more than $10,000.	Cut off files after final payment. Destroy 6 yrs. after final payment.
16290	3) Transactions of more than $25,000 which represent departure from established sales or disposal procedures.	Send report of files to M/SER/MO/PA/RM.
16300	k. Material documenting ownership or custody of aircraft by A.I.D., including assignment to a particular overseas office, flight plan summary, detachment and disposition.	Destroy 5 yrs. after aircraft leaves A.I.D. control.
16310	l. Invoices and related files used for stores accounting, including returns and reports.	Cut off files annually. Destroy when 3 yrs. old. (GRS 8/3)
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	n. Plant accounting cards, reports, ledgers, and inventories covering household type equipment and furnishings.	Destroy 3 yrs. after item is withdrawn from plant account. (GRS 8/6)

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16340	o. Plant accounting reports, ledgers, and inventories covering office equipment and furnishings.	Destroy 3 yrs. after item is withdrawn from plant account. (GRS 8/6)
16350	p. General administrative correspondence relating to acquisition, use, and release of office equipment and furnishings.	Cut off files annually. Destroy when 3 yrs. old.
	Library Service Files	
16360	a. General correspondence regarding library operation and service.	Cut off files annually. Destroy when 2 yrs. old.
16370	b. Library accession records showing publications received.	Destroy when no longer needed.
16380	c. Control cards for items charged from library.	Destroy when no longer needed.
	Motor Pool Operation Files	
16390	a. Annual Motor Vehicle Report (SF 82) and other reports regarding vehicles and motor pool operations.	Cut off files annually. Destroy when 4 yrs. old. (GRS 10/4)
16400	b. Material regarding motor vehicle accidents.	Cut off files after close of case. Destroy 6 yrs. after close of case. (GRS 10/5)
16410	c. Vehicle Dispatch Register showing time, destination, and driver of vehicle, or individual trip tickets reflecting use of vehicles (except copies used in collection of funds).	Destroy when 1 year old.
16420	d. Correspondence regarding maintenance and operation of vehicles.	Cut off files annually. Destroy when 2 yrs. old. (GRS 10/1)

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16430	e. Operating records on individual vehicles.	Destroy when 3 months old. (GRS 10/2.a)
16440	f. Maintenance records on individual vehicles.	Destroy when 1 yr. old. (GRS 10/2.b)
16450	g. Material regarding individual employee operation of Government-owned vehicles, including application forms, drivers' tests, authorization to use, and safe-driving awards.	Destroy 3 yrs. after separation of employee or 3 yrs. after recision or expiration of permit, whichever is earlier. (GRS 10/7)
16460	h. Vehicle Release files including Certification of Release, or evidence of sale, transfer or exchange.	Cut off files when vehicle leaves A.I.D. control. Destroy 4 yrs. after vehicle leaves A.I.D. custody. (GRS 10/6)
	Reproduction and Distribution Services Files	
16470	a. Correspondence pertaining to printing and distribution unit regarding administration and operation of the office.	Cut off files annually. Destroy when 2 yrs. old. (GRS 13/2)
16480	b. Agency reports to Joint Committee on Printing regarding operation and equipment inventories of printing facility.	Cut off files annually. Destroy when 2 yrs. old. (GRS 13/6)
16490	c. Control registers, logs and forms pertaining to requistions and work orders for printing.	Cut off files annually. Destroy when 1 yr old. (GRS 13/4)
16500	d. Requisitions for printing, binding, etc., to Government Printing Office: 1) Copy of requisition, invoice, specification, and related papers.	Cut off files on completion or cancellation. Destroy 3 yrs. after completion or cancellation or order.
	e. Job or project case files covering planning and execution of duplication, collating, and binding (except GPO jobs, for which see above):	

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16510	1) Jobs performed by Agency.	Cut off files annually. Destroy when 1 yr. old. (GRS 13/3.a)
16520	2) Commercial contract jobs.	Cut off files annually. Destroy when 6 yrs. old. (GRS 3/4)
	f. Mailing and distribution lists and related material:	
16530	1) Correspondence, request forms, and other records regarding changes to mailing lists.	Destroy after revision of list. (GRS 13/5.a)
16540	2) Card lists.	Destroy individual cards when cancelled or revised. (GRS 13/5.b)
16550	3) Plate or stencil lists (including the plate or stencil).	Destroy when cancelled or revised. (GRS 13/5.c)
	Space Files	
16560	a. General correspondence files of the office responsible for space and maintenance matters, including warehousing, pertaining to its own operation and administration.	Cut off files annually. Destroy when 2 yrs. old. (GRS 11/1)
	b. Records regarding allocation, utilization, occupancy, and release of space under A.I.D. control:	
16570	1) Building plans and related records utilized in space planning, assignment, and adjustment.	Destroy 2 yrs. after termination of assignment, when lease is cancelled, or when plans are superseded or obsolete. (GRS 11/2.a)

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16580	2) Cards on individual occupants.	See b. 1) above.
16590	c. Space reports including but not limited to Annual Report of Real Property Owned by U. S. Government (SF 1166), listing land, buildings, 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 A.I.D. 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.	Cut off files annually. Destroy when 3 yrs. old. (GRS 11/2.b(1))
16600	d. Records documenting Agency use, custody, or rental of office space, indicating square footage held, organizational component in the space, dates of occupancy, and location or address.	Destroy 2 yrs. after termination of occupancy.
16610	e. Lease files on domestic and overseas offices. Copies of leases, renewals, termination notices, and related papers.	Cut off files when lease terminates. Destroy 3 yrs. after lease terminates or is cancelled, or 3 yrs. after conclusion of litigation (if any) whichever is later.
16620	f. Papers used in space planning, assignment, and adjustment, including space requests, surveys, floor plans, moving schedules, and issuance of passes and permits (to conference rooms, dining rooms, etc.).	Destroy 2 yrs. after space is released. (GRS 11/1)

XVI. GENERAL SUPPORT SERVICES RECORDS

16630 Real Property Files

Title papers documenting the acquisition and disposition of overseas real property (by purchase, donation, exchange, or otherwise) including abstract or certification of title or equivalent and related correspondence.	Permanent. Cut off at end of FY when inventory is disposed of. Hold in office for 3 yrs., then retire to WNRC. Transfer to NARA in 5 yr. blocks when most recent record is 10 yrs. old.

XVII. PERSONNEL RECORDS

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	AUTHORIZED DISPOSITION
	Official Personnel Folders	
	Folders on Civil Service and Foreign Service A.I.D. employees. These records are designated as property of the Civil Service Commission and are maintained in accordance with the Federal Personnel Manual:	
17010	a. All copies of correspondence and forms maintained as temporary records on the left side of the folder, in accordance with FPM.	Destroy upon transfer or separation of employee or when 1 yr. old, whichever is sooner. (GRS 1/10)
17020	b. Folders of employees transferring to another agency.	See Federal Personnel Manual. (GRS 1/1.b(1))
17030	c. Folders of separated employees.	Transfer to inactive files upon separation, and forward to Federal Records Center, St. Louis, within: 1. 6 months for FS employees. 2. 30 days for GS employees. (GRS 1/1) (GRS 1/1.b.(2))

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Service Record Cards

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

17040	a. Cards for employees separated or transferred on or before December 31, 1947.	Transfer to NPRC (CPR), St. Louis, Missouri. Destroy 60 yrs. after earliest personnel action date. (GRS 1/2.a)
17050	b. Cards for employees separated or transferred on or after January 1, 1948.	Cut off when employee separates. Destroy 3 yrs. after separation or transfer of employee. (GRS 1/2.b)

17060 Personnel Correspondence Files

Correspondence, reports, memoranda, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at Agency staff planning levels.

Cut off files annually. Destroy when 3 years old. (GRS 1/3)

Offers of Employment Files

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

17070	a. Accepted offers.	Destroy immediately. (GRS 1/4.a)
	b. Declined offers.	
17080	1) When name is received from certificate of eligibles.	Return to OPM with reply and application. (GRS 1/4.b.(1))

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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 immediately. (GRS 1/4.b(3))
17110	Certificate of Eligibles Files	
	Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.	Cut off files annually. Destroy when 2 yrs. old. (GRS 1/5)
17120	Employee Record Cards	
	Employee record cards used for informational purposes outside personnel office (such as SF 7-B).	Destroy on separation or transfer of employee. (GRS 1/6)
	Position Classification Files	
	a. Position Classification Standards Files.	
17130	1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the Agency.	Destroy when superseded or obsolete. (GRS 1/7.a.(1))
	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.	
17140	(a) Case File.	Cut off when position is abolished. Destroy 5 yrs. after position is abolished or description is superseded. (GRS 1/7.a.(2)(a))

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17150	(b) Review File.	Destroy when 2 yrs. old. (GRS 1/7.a.(2)(b))
	b. Position Descriptions.	
	Files describing established positons 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 when position is abolished or description superseded. (GRS 1/7.b.(2))
	c. Survey Files.	
17180	1) Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports.	Cut off files annually. Destroy when 3 yrs. old or 2 yrs. after regular inspection, whichever is sooner. (GRS 1/7.c.(1))
17190	2) Inspection, Audit and Survey File. Correspondence, memoranda, reports and other records relating to inspections, surveys, desk audits and evaluations.	Destroy when obsolete or superseded. (GRS 1/7.c.(2))
	d. Appeals Files.	
17200	Case files relating to classification appeals.	Cut off when case is closed. Destroy 3 yrs. after case is closed. (GRS 1/7.d)

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17210 Interview Records

Correspondence, reports and other records relating to interviews with employees.	Destroy 6 months after transfer or separation of employee. (GRS 1/8)

17220 Performance Rating Board Case Files

Copies of case files forwarded to OPM relating to performance rating board reviews.	Cut off files when case is closed. Destroy 1 year after case is closed. (GRS 1/9)

17230 Temporary Individual Employee Records

All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Federal Personnel Manual, Chapter 293, and Supplement 293-31.	Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner. (GRS 1/10)

17240 Position Identification Strips

Strips such as Standard Form 7D, used to provide summary data on each position occupied.	Destroy when position is cancelled or new strip is prepared. (GRS 1/11)

Employee Awards Files

a. General awards records.

17250	1) Case files including recommendations, approved nominations, 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.	Cut off files after approval/disapproval. Destroy 2 yrs. after cutoff. (GRS 1/12.a.(1))
17260	2) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.	Cut off files annually. Destroy when 2 yrs. old. (GRS 1/12.a.(2))

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17270	b. Length of Service and Sick Leave Awards Files.	
	Records including correspondence, memoranda, reports, computations or service and sick leave, and list of awardees.	Cut off files annually. Destroy when 1 yr. old. (GRS 1/12.b)
17280	c. Letters of Commendation and Appreciation.	
	Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the Official Personnel Folder.	Cut off files annually. Destroy when 2 yrs. old. (GRS 1/12.c)
17290	d. Lists or Indexes to Agency Award Nominations.	
	Lists of nominees and winners, and indexes of nominations.	Destroy when superseded or obsolete. (GRS 1/12.d)
17300	Incentive Awards Program Reports	
	Reports pertaining to the operation of the Incentive Awards Program.	Cut off files annually. Destroy when 3 yrs. old. (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 offices.	Cut off files annually. Destroy when 2 yrs. old. (GRS 1/14.a)
17320	b. All other copies maintained in personnel offices.	Cut off files annually. Destroy when 1 yr. old. (GRS 1/14.b)

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17330 Employment Applications

Applications (Standard Form 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder (see items 17010-17030 above).	Destroy upon receipt of OPM inspection report or when 2 yrs. old, whichever is earlier, provided the requirements of the Federal Personnel Manual Chapter 333, Section A-4, are observed. (GRS 1/15)

17340 Personnel Operations Statistical Reports

Statistical reports in the operating personnel office and subordinate units relating to personnel management activities within the Agency.	Cut off files annually. Destroy when 2 yrs. old. (GRS 1/16)

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.

17350	a. Correspondence and forms relating to pending personnel actions.	Destroy when action is 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-in-force actions have been taken.	Destroy when superseded or obsolete. (GRS 1/17.b.(2))
17380	c. All other correspondence and forms.	Destroy when 6 months old. (GRS 1/17.c)

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17390 Medical Case Files

Medical histories, examinations, including laboratory reports, hospital reports and clinical interviews, and other material pertaining to Foreign Service employees and their eligible dependents and employees of other Government agencies who are participating in the medical and health programs of the Department of State.	Cut off when employee separates. Retire to NPRC St. Louis, MO., 2 yrs. after separation. Destroy 17 yrs. after separation or last action. (NC1-59-76-12), item 1a) (Disposal suspended per GSA FPMR Bulletin B112, 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 for instructions.
17392	(2) Separated employees.	Transferred to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after 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 be ascertained, or 30 years after latest separation, whichever is later.
17393	b. Temporary or short-term records as defined in the FPM.	destroy 1 year after separation ransfer of employee.
17394	c. Individual Employee Health Case Files created prior to establishment of the EMF system that have been retired to an FRC.	Destroy 60 years after retirement to FRC

Employee Performance File System Records

a. Non-SES appointees (as defined in 5 USC 4301(2)).

17400	1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents.	Cut off files after the employee completes 1 yr. of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice. (GRS 1/23.a.(1))
17410	2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy upon supersession. (GRS 1/23.a.(2))
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	4) All other summary performance appraisal records including performance appraisals and job elements and standards upon which they are based.	Cut off files after date of appraisal. Destroy 3 yrs. after date of appraisal.(GRS 1/23.a.(4))

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17440	5) Supporting documents.	Cut off files after appraisal. Destroy 3 yrs. after date of appraisal or when no longer needed, whichever is sooner. (GRS 1/23.a.(5))
	b. SES appointees (as defined in 5 USC 3132a(2)).	
17450	1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy upon supersession. (GRS 1/23.b.(1))
17460	2) Performance-related records pertaining to a former SES appointee.	Disposition pending. (GRS 1/23.b.(2))
17470	3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based.	Cut off files after appraisal. Destroy 5 yrs. after date of appraisal, exclusive of any interim service as a Presidential appointee. (GRS 1/23.b.(3))17480
17480	4) Supporting documents.	Cut off files after appraisal. Destroy 5 yrs. after date of appraisal or when no longer needed, whichever is sooner. (GRS 1/23.b.(4))
17490	c. Presidential appointees.	Disposition pending. (GRS 1/23.c)
	Financial Disclosure Reports	See VI. LEGISLATIVE AND LEGAL AFFAIRS RECORDS. (GRS 1/25)

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Equal Employment Opportunity Records

17500 a. Official Discrimination Complaint Case Files.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings 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.	Cut off files after resolution of case. Destroy 4 yrs. after resolution of case. (GRS 1/26.a)

17510 b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case Files.	Destroy 1 yr. after resolution of case. Destroy 2 yrs. after final resolution of case. (GRS 1/26.c)

17520 c. Background Files.

Background records not filed in the Official Discrimination Complaint Case Files.	Cut off files after resolution of case. Destroy 2 yrs. after final resolution of case. (GRS 1/26.c)

d. Compliance Records.

17530 1) Compliance Review Files.

Reviews, background papers, and correspondence relating to contractor employment practices.	Cut off files annually. Destroy 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))

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

XVII. PERSONNEL RECORDS

Personnel Counseling Records

17600 a. Counseling Files.

Reports of interviews, analyses and related records.	Cut off files after termination of counseling. Destroy 3 yrs. after cut-off. (GRS 1/27.a)

17610 b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating and directing an alcohol and drug abuse program.	Cut off files annually. Destroy when 3 yrs. old. (GRS 1/27.b)

17620 Standards of Conduct Files

Correspondence, memoranda and other records relating to codes of ethics and standards of conduct.	Destroy when obsolete or superseded. (GRS 1/28)

Labor Management Relations Records

a. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports and other records relating to the relationship between management and employee 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 when superseded or obsolete. (GRS 1/29.a.(2))

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17650	b. Labor Arbitration General and Case Files.	
	Correspondence, forms, and background papers relating to labor arbitration cases.	Cut off files after resolution of case. Destroy 5 yrs. after final resolution of case. (GRS 1/29.b)
	Training Records	
	a. Training Aids.	
17660	1) One copy of each manual, syllabus, textbook, and other training aid developed for Agency specific training.	Permanent. Transfer to NARA in 5 yr. blocks when most recent record is 10 yrs. old.
17670	2) Training aids developed for administrative or facilitative training (Wang, Mgt.).	Destroy when superseded.
	b. General file of Agency-sponsored training.	
17680	1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences.	Cut off files annually or after completion of training. Destroy when 5 yrs. old or 5 yrs. after completion of a specific training program. (GRS 1/30.b.(1))
17690	2) Background and workpapers.	Cut off files annually. Destroy when 3 yrs. old. (GRS 1/30.b.(2))

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17700 c. Employee training.

Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.	Cut off files annually. Destroy when 5 yrs. old or when superseded or obsolete, whichever is sooner. (GRS 1/30.c)

17710 d. Course Announcement Files.

Reference file of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by government or non-government organizations.	Destroy when superseded or obsolete. (GRS 1/30.d)

Grievance, Disciplinary and Adverse Action Files

17720 a. Grievance, Appeals Files (5 CFR 771).

Records originating in the review of grievance and appeals raised by Agency employees, except EEO complaints. 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.	Cut off files when case is closed. Destroy 3 yrs. after case is closed. (GRS 1/31.a)

17730 b. Adverse Action Files (5 CFR 752).

Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary 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.	Cut off files when case is closed. Destroy 4 yrs. after case is closed. (GRS 1/31.b)

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17740 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, EXCLUDING copies filed in the Official Personnel Folder and copies submitted to the Department of Labor.	Cut off files annually. Destroy when 5 yrs. old. (GRS 1/32)

17750 Merit Promotion Case Files

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates, EXCLUDING any records that duplicate information in the promotion plan, in the Official Personnel Folders, or in other personnel records.	Cut off files when case is closed. Destroy 2 yrs. after the personnel action has been audited by OPM, whichever is sooner. (GRS 1/33).

XVIII. PROCUREMENT AND CONTRACTING RECORDS

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

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
18010	Unique Procurement Files	
	Procurement files (as in Item 18030-18060 below) documenting the initiation and development of transactions that deviate from established precedents with respect to general Agency procurement programs.	Send report of files to M/SER/MO/PA/RM
	Real Property Files	
	(See Chapter XVI GENERAL SUPPORT SERVICES RECORDS, Item 16630)	
18020	General Correspondence Files	
	Correspondence files of operating procurement units concerning internal operations and administration matters not covered elsewhere in this schedule.	Cut off files annually. Destroy when 2 yrs. 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 Items 18010 and 16630).	
	a. Procurment or purchase organization copy, and related papers.	

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18030	1) Transactions of $25,000 and all construction contracts exceeding $2,000.	Cut off files after final payment. Hold in office 3 yrs. then retire to WNRC. Destroy 6 yrs. and 3 months after final payment. (GRS 3/4.a)
18040	2) Transactions of $25,000 or less and construction contracts under $2,000.	Cut off files after final payment. (Close file 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 therewith.)
18050	b. Obligation copy.	Destroy when funds are obligated.
18060	c. Other copies of records described above used by component elements of a procurement office for administrative purposes.	Destroy upon termination or completion.
	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).	
18070	a. Copies received from other units for internal purposes or for transmission to staff agencies.	Cut off files annually. Destroy when 2 yrs. old. (GRS 3/5.a)

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18080	b. Copies in other reporting units, and related work papers.	Cut off files annually. Destroy when 1 yr. old. (GRS 3/5.b)
	Solicited and Unsolicited Bids and Proposals Files	
18090	a. Successful bids and proposals.	Destroy with related contract case files (see item 18030-18060 above). (GRS 3/6.a)
	b. Solicited and unsolicited unsuccessful bids and proposals.	
18100	1) When filed separately from contract case files.	Destroy when related contract is completed. (GRS 3/6.b.(1))
18110	2) When filed with contract case files.	Destroy with related contract case files (see items 18030-18060 above). (GRS 3/6.b.(2))
	c. Cancelled Solicitations Files.	
18120	1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, 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.	Cut off files after date of cancellation. (GRS 3/6.c.(1))
18130	2) Unopened Bids.	Return to bidder. (GRS 3/6.c.(2))

XVIII. PROCUREMENT AND CONTRACTING RECORDS

18140 Telephone Records

Telephone statements and toll slips.	Destroy 3 yrs. after period covered by related account. (GRS 3/11)

18150 Contractors' Payroll Files

Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	Cut off files annually. Destroy 3 yrs. after date of completion of contract unless contract performance is subject of enforcement action on such date. (GRS 3/12)

18160 Tax Exemption Files

Tax exemption certificates and related papers.	Destroy 3 yrs. after period covered by related account. (GRS 3/13)

18170 Contractor's Statement of Contingent or Other Fees

Standard Form 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.	Destroy when superseded, obsolete, or no longer needed, whichever is sooner. (GRS 3/20)

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.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Security Files	
19010	Identification Unit Files	
	These files contain Agency Employee ID photos and cards. The cards are renewed and new photos made periodically (5 years).	Destroy when IDs are renewed or after termination of 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. Case files documenting the processing of investigations on employees or applicants for employment, whether or not a security clearance is granted, and other persons, such as those performing work for the Agency under contract, who require an approval before having access to Government facilities or to sensitive data. 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.	Destroy upon notification of death or not later than 5 yrs. after separation or transfer of employee or not later than 5 yrs. after contract relationship expires, whichever is applicable. (GRS 18/23.a)

XIX. SECURITY AND INSPECTOR GENERAL RECORDS

19030	b. Investigative reports and related papers furnished to agencies by investigative organizations for use in making security/suitability determinations.	Destroy in accordance with the investigating agency instructions. (GRS 18/23.b)
19040	c. Index to the Personnel Security Case Files.	Destroy with related case file. (GRS 18/23.c)
19050	Personnel Security Clearance Status Files	
	Lists or rosters showing the current security clearance status of individuals.	Destroy when superseded or obsolete. (GRS 23/24)
	Security Violations Files	
	Case files relating to investigations of alleged violations of Executive Orders, laws, or Agency regulations for the safeguarding of national security information.	
19060	a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Departments of Justice or Defense for prosecutive determinations, exclusive of files held by Department of Justice or Defense offices responsible for making such determinations.	Destroy 5 yrs. after close of case. (GRS 23/25.e)
19070	b. All other files, exclusive of papers placed in official personnel folders.	Destroy 2 yrs. after completion of final action or when no longer needed, whichever 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.	

XIX. SECURITY AND INSPECTOR GENERAL RECORDS

19080 a. University Contracts Files

Contract folders containing records of release information (review of personnel), resumes, record check requests, name check requests, requests for approval for building passes and other related papers.	Destroy 5 yrs. after contract relationship expires.

19090 b. Firms and Organizations

Files contain: Security investigative reports, credit reports, Dunn & Bradstreet reports, letters, memoranda, name check requests, record checks, request for clearance and other related documents.	Destroy 5 yrs. after contract relationship expires.

19100 Investigators' Working Files

These files are used as reference material by the investigators in preparation of cases. Files may contain extra copies of memos, letters, drafts, reports, telegrams, and other personal notes. The official documentation is maintained in the Office of Security official files.	Destroy when no longer needed for reference. (non-record)

Investigations, Inspections and Audit Files

19110 Official IG/II Case Files

This series documents the official inspection and investigation cases of the Office of Investigations and Inspections. The files contain reports of investigations and inspections including violations of Title 18 and or other criminal or civil matters affecting the United States, possible violations of A.I.D. regulations, and other related documents.	Cut off file after case is closed. Hold in office space for 2 yrs., then retire to WNRC. Destroy when 15 yrs. old. (GRS 25/3.b)

XIX. SECURITY AND INSPECTOR GENERAL RECORDS

19120	Audit Reports File	
	The series consists of individual audit case files which are filed by unique audit sequence numbers. The case files consist of: the audit report, correspondence, memoranda, audit recommendations, and responses thereto.	Close file after compliance with recommendations. Hold for 1 yr., then retire to WNRC. Destroy when 6 yrs. old. (GRS 25/4)
19130	Audit Recommendation Files	
	This series is a follow up system on outstanding replies to audit reports and is used to assure appropriate implementation of recommendations. The series contains both open and closed recommendation files.	a. Open Recommendations: Close file upon compliance. Destroy when 5 yrs. old. b. Closed Recommendations: Destroy when 5 yrs. old.
19140	Inspectors Working Files	
	This series covers reference material used by the Inspectors in conducting investigation and inspections. The official case files are maintained by the IG/II file room.	Destroy when no longer needed for reference. (non-record)
19150	Program Subject Files	
	Subjects pertaining to A.I.D. program and/or functions for which the office exists.	Cut off at end of fiscal year. Destroy when 5 yrs. old. (NC1-286-85-7)

XX. TRAVEL AND TRANSPORTATION RECORDS

This Chapter covers records pertaining to the movement of goods and persons under Government orders. The recordkeeping involved in the movements centers around bills of lading, transportation requests, vouchers, and associated records, including those prescribed by 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. Their disposition may be covered by items in Chapter XV. FISCAL MANAGEMENT FILES.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Freight Files	
	Records relating to freight consisting of export certificates, demurrage card record books, shipping documents pertinent ot 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.	
20010	a. Issuing office memorandum copies other than those identified in item 20040.	Cut off files after 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 yr. old. (GRS 9/1.b)
20030	c. Registers and control records other than those identified in item 20040.	Cut off files annually. Destroy when 3 yrs. old. (GRS 9/1.c)

XX. TRAVEL AND TRANSPORTATION RECORDS

20040	d. Records, including registers and control reports, on international shipments of household goods moved by freight forwarders.	Cut off files after period covered by account. Destroy 6 yrs. after the period of the account. (GRS 9/1.d)
20050	Lost or Damaged Shipments Files	
	Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act.	Cut off files annually. Destroy when 3 yrs. old. (GRS 9/2)
	Passenger Transportation Files	
	Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting 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 are obligated. (GRS 9/3.b)
20080	c. Unused ticket redemption forms, such as SF 1170.	Destroy when no longer needed for administrative use. (GRS 9/3.c)
	Passenger Reimbursement Files	
	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.	
20090	a. Travel administrative office files.	Cut off files annually. Destroy when 3 yrs. old. (GRS 9/4.a)

XX. TRAVEL AND TRANSPORTATION RECORDS

20100	b. Obligation copies.	Destroy when funds are obligated. (GRS 9/4.b)
	General Travel and Transportation Files	
20110	a. Correspondence, forms, and related records pertaining to Agency travel and transportation functions, not covered elsewhere in this schedule.	Cut off files annually. Destroy when 2 yrs. old. (GRS 9/5.a)
20120	b. Accountability records.	Destroy 1 yr after all entries are cleared. (GRS 9/5.b)

APPENDIX 6A

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APPENDIX 6B

RECORDS DISPOSITION SCHEDULE

U.S.A.I.D.

INTRODUCTION

RECORDS DISPOSITION SCHEDULE - U.S.A.I.D.

A. Purpose: The Records Disposition Schedule contained in this appendix constitutes the sole authority for the retention and disposition of records at U.S.A.I.D. 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. Application of Schedule: A.I.D. 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 A.I.D./W, M/SER/MO/PA/RM.

(1) Scope: The disposal authorizations contained in this schedule apply to records of the type described regardless of the physical location at the U.S.A.I.D., e.g., central files; officially decentralized files; or working files. The authorizations apply to both classified and unclassified records unless otherwise specificied. Care should be exercised in applying the Schedule. If the U.S.A.I.D. 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.

**New material

U.S.A.I.D.s 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. Distribution: 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.

D. Arrangement: 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 functinal headings because of organizational and records maintenance variations at different U.S.A.I.D.s. Any record not authorized for disposal should be brought to the attention of the Records Management Branch.

E. Description of Records: 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. Disposition Instructions: 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 file 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. Method of Destruction: 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 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 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. Record of Destruction: 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. Emergency Destruction: 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.

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RECORDS DISPOSITION SCHEDULE--U.S.A.I.D.

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 A.I.D. 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 A.I.D. Handbook 21, Part II.	
25010	a. Office Program Subject Files	
	Subjects pertaining to A.I.D. programs and/or functions for which the office exists.	Permanent. Cut off files annually. When 2 yrs. old transfer to A.I.D./W and retire to WNRC. 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.

Chapter 25 GENERAL RECORDS

25030 c. Country Files

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

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.A.I.D. staff is represented. Arranged chronologically and thereunder by subject of meeting. (Volume of records accumulated annually negligible. Volume of records accumulated to date unknown.)	Permanent. Cut off files annually. When 2 yrs. old transfer to A.I.D./W and retire to WNRC. Transfer to NARA in 5 yr. blocks when most recent records are 20 yrs. old.

Reading, Chronological, and Cable Files

25050 a. Extra copies of correspondence prepared and maintained by the originating office, used solely as a reading or reference file for the convenience of personnel.	Cut off annually. Destroy when 1 yr. old or when reference value has been exhausted, whichever is sooner. (NC1-286-82-2)
25060 b. Extra copies of incoming and outgoing cables arranged chronologically.	Destroy when 1 yr. old, 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 need not be kept more than 90 days. Examples of transitory correspondence are shown below:	Destroy when 90 days old or sooner if purpose has been served. (GRS 23/4)

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) Letters of Transmittal

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

c) Quasi-Official Notices

Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays 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 A.I.D. files.

Destroy when no longer needed for reference purposes. (GRS 23/6)

25090 b) Reference Publication Files

Extra copies of A.I.D. internal and/or external directives, and publications issued by other Government agencies and non-governmental organizations maintained for reference within an office.

Destroy when superseded, obsolete, or no longer needed for reference purposes.

CHAPTER 26

PROJECT ASSISTANCE RECORDS

These records relate to the A.I.D. 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, and science and technology. See Chapter 29 of this Appendix for Housing and Urban Development Project Files.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Project Files	
	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 activity completion date. Destroy 3 years after project activity completion date.
26020	b) Grant Files	(same as (a) above)
	Project Plan Files	
26030	Copies of engineering plans relating to individual projects.	Destroy in accordance with Item 26010 above.

Chapter 26 PROJECT ASSISTANCE RECORDS

Participant Training Files

* 26040	a)	Participant trainee case files, containing PIO/Ps, biodata, training plans, budgets, notice of return, course records, report, etc.	Cut off on project activity completion date. Transfer pertinent summary data to card files or computer tapes as appropriate. Destroy 3 yrs. after project activity completion date. (N1-286-89-1) *
26050	b)	Printouts containing summary data for each trainee or training project.	Destroy upon termination of overseas office or when no longer needed, whichever is sooner.
26060	c)	Computer tapes containing summary data for trainees or training project. training project.	Destroy upon termination of overseas office or when no longer needed, whichever is sooner.
26070	d)	Card files and other summary data for each trainee or training project (except computer tapes and printouts and reports described above).	Destroy upon termination of overseas office or when data is transferred to computer tapes at overseas offices, or when no longer needed, whichever is sooner.

Project Reports Files

26080 Project Review Summary Reports

Copies of summary progress reports and related correspondence on the implementation of all projects. Included in this item are similar types of recurring reports on project implementation used at the discretion of individual missions.	Cut off annually. Destroy when 2 years old.

* Revised

Chapter 26 PROJECT ASSISTANCE RECORDS

		Country Development Strategy Statement (CDSS) File	
26090	a)	Formal Statements on the country foreign aid assistance program are submitted to AID/W annually These statements are printed bound and issued by AID/W	Destroy when 5 yrs. old.
16100	b)	Workpapers	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 agreements.	Cut off annually. Destroy when 3 years old.

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 A.I.D./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 containing basic financial information regarding the current status of CIP transactions.	Cut off annually. Destroy when 5 years old.

Chapter 27 NON-PROJECT ASSISTANCE RECORDS

27040 c) CIP Concurrence Letters

Copies of CIP letters of transaction 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 included are correspondence and other documents containing follow-up information.	Cut off file at end of FY in which all problems are resolved. Hold at post 2 yrs. then transfer to A.I.D./W and retire to WNRC. Destroy when 7 yrs. old.

27060 e) Damage/Loss Reports

Reports and related correspondence pertaining to losses of or damage to cargo or commodities incurred in shipment.	Cut off when case is closed. Destroy 3 yrs. after files are closed. (GRS 9/2)

27070 f) Distressed Cargo Files

Reports and related correspondence on cargo that is distressed, i.e., involved in customs or other problems resulting in delays in being released from the port.	Cut off when file is closed. Destroy 3 yrs. after file is closed.

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 Development Strategy Statement

(CDSS) File	See Items 26090 and 26100 for authorized disposition instructions.

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	Voluntary Agency Program (Title II) 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.

Chapter 28 FOOD FOR PEACE RECORDS

28040 Title I and III Implementation and Evaluation Files

Correspondence and reports pertaining to the FFP Office's implementation of the provisions of Titles I and III and program evaluation reports.	Cut off files annually. Destroy when 6 years old.

CHAPTER 29

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, A.I.D., 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.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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 incorportate in official A.I.D./W Housing files for transfer to Federal Records Center.

CHAPTER 30

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 A.I.D. has only small staffs to administer the foreign assistance programs. Records disposition instructions for project records for which Regional Economic Development Services Offices (REDSO) have direct project management responsibility are found in Chapter 26, Project Assistance Records, Items 26010 and 26020, of this Schedule.

ITEM NO.	DESCRIPTION OF RECORDS	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

CHAPTER 31

ADMINISTRATIVE MANAGEMENT RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Directives Files	
	Formal directives distributed as Mission Orders, Notices, Circulars, or in loose-leaf 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 A.I.D./W when 2 yrs. old. 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 A.I.D. and is not included in other records elsewhere.	
31030	a) Record copy.	Permanent. Transfer to A.I.D./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 materials.	See Item 31060.

Chapter 31 ADMINISTRATIVE MANAGEMENT RECORDS

31050 Administrative Management Project Control Files

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.

CHAPTER 32

AUDIT, INVESTIGATION, AND INSPECTION RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
32010	Regional Inspection and Investigation Report Files	
	Case files on inspections and investigations of A.I.D. overseas activities consisting of reports and supporting papers.	One year after case is closed: (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, A.I.D./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 III of 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.

CHAPTER 33

BUDGET RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
33010	Budget Correspondence Files	
	Correspondence files in the office responsible for submitting the ABS to A.I.D./W. Files pertain to routine administration, internal procedures, and other matters not covered elsewhere in this Schedule.	Destroy when 2 years old. (GRS 5/3)
	Budget Records	
33020	a) Mission's copy of Annual Budget Submission.	Destroy when 5 years old. (GRS 5/4)
33030	b) Working papers, cost statements, and data accumulated in the preparation of the Annual Budget Submission.	Destroy 1 year after the close of the fiscal year covered by the budget. (GRS 5/2b)
33040	Budget Report Files	
	Periodic reports on the status of appropriation accounts and apportionment.	Cut off at end of fiscal year. Destroy when 3 years old.
33050	Budget Apportionment Files	
	Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.	Cut off at end of fiscal year. Destroy when 2 years old. (GRS 5/6)

CHAPTER 34

COMMUNICATIONS AND RECORDS MANAGEMENT

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
34010	Messenger Service Files	
	Daily Logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	Destroy when 2 months old. (GRS 12/1)
	Postal Records	
	Post Office forms and supporting papers.	
34020	a) Records relating to incoming or outgoing registered mail pouches, registered certified, insured and special delivery mail including receipts and return receipts.	Destroy when 1 year old. (GRS 12/5)
34030	b) Application for postal registration and certificates of declared value of matter subject to postal surcharge.	Destroy when 1 year old. (GRS 12/5)
	Mail and Delivery Service Control File	
34040	a) Records of receipt and routing of incoming and outgoing mail, and items handled by private delivery companies.	Destroy when 1 year old. (GRS 12/6)

Chapter 34 COMMUNICATIONS AND RECORDS MANAGEMENT

34050	b)	Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).	Destroy when 6 months old.
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 relating to handling of mail and volume of work performed.	Destroy when 1 year old.
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.A.I.D. office.

34110 Records Holdings Files

Statistical reports of offices/holdings including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.	Destroy when 1 year old. (GRS 16/6b)

Chapter 34 COMMUNICATIONS AND RECORDS MANAGEMENT

Records Management Files

34120	a)	Correspondence, reports, authorizations, and other records that 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.	Destroy when 6 years old. (GRS 16/11)
34130	b)	Shelf lists of records retired to AID/W.	Forward to Bureau 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 headquarters and the USAID office. Copies of these telegrams can be located in the AID/W Telecommunications Branch.	Cut off at the end of the calendar year, retain in active office space. Destroy when 1 yr. old or sooner if no longer needed for reference. (NC1-286-82-2, Item 1B) * *

* * New Material

Chapter 34 COMMUNICATIONS AND RECORDS MANAGEMENT

ITEM NO.		DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
34150	(b)	Incoming telegrams received from other USAID offices.	Cut off at end of the calendar year. Destroy when 1 yr. old or 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 not an addressee.	Cut off at end of the calendar year. Retain in office 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)	Master chronological file of correspondence, including exchanges with various offices of the government of the host country.	Cut off at the end of the fiscal year and retain in office space for 6 additional months. Transfer to local storage facilities for 18 months, then destroy. (NC 1-286-82-2, Item 2B)

CHAPTER 35

FINANCIAL MANAGEMENT RECORDS

ACCOUNTABLE OFFICERS' ACCOUNTS RECORDS

ITEM NO.		DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
		Accountable Officers' Files	
35010	a)	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) *

* Revised

Chapter 35 FINANCIAL MANAGEMENT RECORDS

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.
SF 1096, Schedule of Voucher Deductions
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
SF 1221, Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)

35020	b)	Memorandum or extra copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related papers not covered elsewhere in this part of the Schedule.	Destroy 3 years after the period of the account.

Chapter 35 FINANCIAL MANAGEMENT RECORDS

35030	Transportation Voucher Files	
	Vouchers identified by "T" prefixed to the voucher and schedule of payments 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 A.I.D./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	Accounting Administrative Files	
	Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.	Destroy when 3 years old. (GRS 6/5)

Chapter 35 FINANCIAL MANAGEMENT RECORDS

Personnel Surety Bond Files

a) Official copies of the bond and attached 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. Other bond files, including other copies of bonds and related papers.	Destroy when bond becomes inactive or after the end of the bond premium period. (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)

Chapter 35 FINANCIAL MANAGEMENT RECORDS

35120 Appropriation Allotment Files

Allotment records showing status of obligations and allotments under each authorized appropriation.	Destroy 6 years 3 months after the close of the 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.	Transfer to NPRC St. Louis records on separated employees 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)

Chapter 35 FINANCIAL MANAGEMENT RECORDS

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 processing copies.	Destroy after GAO audit or when 3 years old, which ever is sooner. (GRS 2/2)
35180	(2) All other copies.	Destroy 6 months after the end of the pay period. (GRS 2/2)

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 the pay period. (GRS 2/8)
35200	b) If the time card has not been initialed by the employee.	Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/8)

Leave record cards such as OF 1137 or equivalent maintained separately from pay and earnings records, and OF 1130 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)

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 a) Original copy of SF 1150. — File on right of official 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 in the Official Personnel Folder. — Destroy when related pay records are audited by GAO or when 3 years old, whichever is sooner. (GRS 2/11)

35260 Budget Authorization Reference Files

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.

35270 a) If earning record card is maintained. — Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/13)

Chapter 35 FINANCIAL MANAGEMENT RECORDS

35280	b) If earning record card is not maintained.	Destroy when 10 years old. (GRS 2/13)
35290	Payroll Control Files Payroll control registers.	Destroy after GAO audit or when 3 years old, whichever is sooner. (GRS 2/14)
	Payroll Changes Files Payroll change slips, exclusive of those of the 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 Schedules Files Memorandum copies of fiscal schedules used in the payroll 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)

Chapter 35 FINANCIAL MANAGEMENT RECORDS

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)

Chapter 35 FINANCIAL MANAGEMENT RECORDS

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)

CHAPTER 36

MOTOR VEHICLE MAINTENANCE AND OPERATION RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
36010	Motor Vehicle Correspondence Files	
	Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this part of the Schedule.	Cut off file at end of FY. Destroy when 2 years old. (GRS 10/1)
	Motor Vehicle Operating and Maintenance Files	
36020	a) Operating records including those relating to gas and oil consumption, dispatching, and scheduling.	Destroy when 3 months old. (GRS 10/2)
36030	b) Maintenance records, including those relating to service and repair.	Destroy when 1 year old. (GRS 10/2)
36040	Motor Vehicle Cost Files	
	Motor vehicle ledger and work sheets providing cost and expense data.	Destroy 3 years after discontinuance of ledger or date of work sheet. (GRS 10/3)
36050	Motor Vehicle Accidents Files	
	Records relating to motor vehicle accidents, maintained by transportation offices.	Destroy 6 years after case is closed. (GRS 10/5)

Chapter 36 MOTOR VEHICLE MAINTENANCE AND OPERATION RECORDS

36060 Individual Motor Vehicle Files

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)

CHAPTER 37

PERSONNEL RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Personnel Files	
	a) Official Personnel Folders	
37010	(1) Foreign Service National Employees	Retire to PER/MGT/RR/P, Dept. of State, Wash., D.C., 1 year after date of employee separation.
	(2) Foreign National Contract Employees	
37020	(a) When no separate contract file is maintained elsewhere.	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) American Family members in FSN/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, whichever is later.

Chapter 37 PERSONNEL RECORDS

b) Unofficial Personnel Folders

(1) U.S. Direct Hire Employees

37050	a) Transferred to another U.S.A.I.D.	Transfer file immediately to the new post.
37060	b) Transferred to A.I.D./W.	Destroy 1 year after departure of employee.
37070	c) Separated at post.	Destroy 1 yr after separation of employee.
37080	(2) U.S. Contract(or) Employees	Destroy 1 year after termination of contract or departure of employee, whichever is sooner.

Position Classification Files

37090	a) Position Classification Standards Files. Standards and Guidelines used to classify or evaluate position within the Agency.	Destroy when superseded or obsolete. (GRS 1/7)
37100	b) Position Descriptions. Files describing established postions including information on title, series, grade, duties and responsibilities.	Destroy 5 years after position is abolished or description superseded.

Chapter 37 PERSONNEL RECORDS

37110	c) Survey Files. Classification Survey Reports. Survey reports on various poitions prepared by classification specialists, including periodic reports.	Destroy 3 years after survey.
37120	d) Appeals Files Case files relating to classification appeals.	Destroy 3 years after case is closed.
	Employee Awards Files	
37130	a) Case files including recommendations, approved nominations, 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).
37140	b) Correspondence or memoranda pertaining to awards from other government agencies or private organizations.	Destroy when 2 years old.

Chapter 37 PERSONNEL RECORDS

37150	c) Length of Service Files. Records including correspondence, memoranda, reports, computations of service and list of awardees.	Destroy when 1 year old.
37160	d) Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement, letters of appreciation, commendations for performance, EXCLUDING copies filed in the OFFICIAL Personnel Folder.	Destroy when 2 years old.
37170	Incentive Awards Program Reports	
	Reports pertaining to the operation of the Incentive Awards Program.	Destroy when 3 years old. (GRS 1/13)
37180	Notifications Of Personnel Actions	
	Standard Form 50 documenting initial employment, promotions, transfers in or out, separations, and all other individual personnel actions,exclusive of those in Official Personnel Folders.	Destroy when 1 year old
	Personnel Operations Statistical Reports	
	Statistical reports in the operating personnel office 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)

Chapter 37 PERSONNEL RECORDS

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 relating to pending personnel actions.	Destroy when action is complete. (GRS 1/17)
37220	b) All other correspondence and forms.	Destroy when 6 months old. (GRS 1/17)

37230 Equal Employment Opportunity Records

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)

Training Records (A.I.D. Employees)

a) Training Aids.

37240	(1) One copy of each manual, syllabus, textbook, and other training aid developed for Agency-specific training.	Permanent. Transfer as per Item 31030
37250	(2) Training materials developed for administrative or facilitative subjects.	Destroy when obsolete or superseded.

Chapter 37 PERSONNEL RECORDS

b) General file of Agency sponsored training:

37260	(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.	Destroy when 5 years old.
37370	(2) Background and work papers.	Destroy when 3 yrs. old.
37380	c) Employee Training.	
	Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-government institutions.	Destroy when 5 yrs. old or when superseded or obsolete, whichever is sooner.
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 non-government organizations.	Destroy when superseded or obsolete.

Grievance, Disciplinary and Adverse Action Files

37400	a) Grievance, Appeals Files (5 CFR 771).	Destroy 3 yrs. after case is closed.
	Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints.	

Chapter 37 PERSONNEL RECORDS

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 A.I.D./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 A.I.D./W M/PM/OD for filing.
37440	b) Foreign service national employees.	File in Official Personnel folder.

CHAPTER 38

PROCUREMENT AND SUPPLY RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
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 than $25,000.	Destroy 6 years and 3 months after final payment. (GRS 3/4)
38030	(2) Transactions of $25,000 or less.	Destroy 3 years after payment. (GRS 3/4)
38040	b) Obligation copy.	Destroy when funds are obligated. (GRS 3/4)

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38050	c) Other copies of records above used by component elements of an office for administrative purposes.	Destroy upon termination or completion of procurement action. (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).	
38060	a) Copies received from other units for internal purposes for transmission to staff agencies.	Destroy when 2 yrs. old. (GRS 3/5)
38070	b) Copies in other reporting units and related work papers.	Destroy when 1 yr. old. (GRS 3/5)
	Solicited and Unsolicited Bids and Proposals Files	
38080	a) Successful bids on proposals.	Destroy with related contract case files (see Items 38020 thru 38050). (GRS 3/6)
	b) Unsuccessful 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 case file.	Destroy with related contract case files (see Items 38020 thru 38050). (GRS 3/6)

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 cancellation of requisition. (GRS 3/7)
38120	b) Accounting copy of requisition.	Destroy 3 yrs. after period covered by related account. (GRS 3/7)

38130 Nonpersonal Requsition File

Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts, Chapter 35, Items 35010, 35020). — Destroy when 1 yr. old. (GRS 3/8)

Equipment and Supplies Requisition File

Requisition for supplies and equipment for current office use.

38140	a) Stockroom copy.	Destroy 2 yrs. after completion or cancellation 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 and development of transactions that deviate from established procedures with respect to general Agency procurement programs. — Send report of files holdings to M/SER/MO/PA/RM. (GRS 3/1)

CHAPTER 39

PROPERTY RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
39010	Property Disposal Correspondence Files	
	Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	Destroy when 2 yrs. old. (GRS 4/4)
39020	Non-expendable Personal Property Reports	Destroy when 3 yrs. old. (GRS 4/5)
	Excess Property Case Files	
	Case files on sales or donation of personal property, comprising invitations, bids, acceptance, lists of materials, evidence of sales or transfer, and related correspondence.	
39030	a) Transactions after July 25, 1974, of more than $10,000; and transactions before July 26, 1974, of more than $2,500.00	Cut off file when all actions are completed. Destroy 6 yrs. after cutoff. (GRS 4/6)
39040	b) Transactions after July 25, 1974, of $10,000 or less; and transactions before July 26, 1974, of $2,500 or less.	Cut off file when all actions are completed. Destroy 3 yrs. after cutoff. (GRS 4/6)
	Non-expendable Personal Property Files	
	Correspondence, reports and other records on sales or donation of Mission property not covered elsewhere in this Schedule.	

Chapter 39 PROPERTY RECORDS

39050	a) Files pertaining to the donation of U.S. owned personal property under Section 607 of the Foreign Assistance Act of 1961, as amended.	Cut off file when all actions are completed. Destroy 6 yrs. after cutoff.
	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.A.I.D. control.
39080	Building Services Files	
	Copies of work orders and related records on work done pertaining to repairs and upkeep of U.S.A.I.D. 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.

Chapter 39 PROPERTY RECORDS

39100 Leases

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.

CHAPTER 40

TRAVEL AND TRANSPORTATION RECORDS

ITEM NO.	DESCRIPTION OF RECORDS	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 copies other than those identified in 40040 below.	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 40040 below.	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.	Destroy 6 yrs. after the period of the account. (GRS 9/1)
40050	e) Case files (by employee name) documenting the various shipments (HHE, UAB, POV, etc.) of personal effects while the individual is assigned to post. Includes final departure shipment.	Close file when all actions, payments and claims been settled following final shipment. Destroy 6 yrs. after closing. (GRS 9/1)

Chapter 40 TRAVEL AND TRANSPORTATION RECORDS

40060 Lost or Damaged Shipments Files

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, transporation 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. — Close files when all action, payments, and claims have been settled following 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 files. — Destroy when 3 years old.

40110 b) Obligation copies. — Destroy when funds are obligated.

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 Transporation Files	
40130	a) Correspondence, forms and related records pertaining to agency travel and transportation functions, not covered elsewhere in this Schedule.	Destroy when 2 yrs. old. (GRS 9/5)
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 A.I.D. shipments of goods. Includes all correspondence forms and reports.	Cut off annually the files on all cleared shipments. Destroy 3 yrs after cut off.

APPENDIX 6B

INDEX TO U.S.A.I.D. SCHEDULE

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APPENDIX 6C

ELECTRONIC RECORDS DISPOSITION SCHEDULE

INTRODUCTION and GUIDE

ELECTRONIC RECORDS DISPOSITION SCHEDULE

"The United States is in danger of losing its memory." So stated the blue-ribbon group that produced the Report of the Committee on the Records of Government (1985), referring to the fact that in the past the National Archives, our nation's historical repository, has succeeded in collecting paper records for future generations, but now finds the increasing number of electronic records of possible historical value to be far more elusive to capture. Even now, after 20 years of scheduling and accessing electronic and ADP records, the National Archives has residing in storage only three thousand reels of tape or .02 per cent of all electronic records created.

This Electronic Records Disposition Schedule for AID/W and the Missions represents one attempt to preserve valuable Government electronic records, chronicling the affairs and operations of our Agency. These records may reside on magnetic tape, optical or digital disks, diskettes, or electronic equipment ranging from word processors to mainframe computers. As such, this electronic records schedule complements the other two disposition schedules in this Handbook--AID/W (App.6A) and USAID (App.6B)--which deal primarily with the disposition of paper records.

The Electronic Records Disposition Schedule stipulates specific time frames for the retention, destruction, or preservation of particular record groups. It is based on years of discussion and research into the nature of AID's major ADP systems and some of the smaller PC systems that now abound. The National Archives and Records Administration (NARA), which oversees the development of agency disposition schedules throughout the Government, worked closely with AID's Records Management Branch to produce this final product.

This Schedule is divided into three main parts reflecting the general categories of records found in most automated systems: 1.) Master Files 2.) Processing Files employed to create or use the master files, and 3.) Documentation that provides the information necessary for analyzing the data.

Most of the Schedule is devoted to major systems maintained by AID's Office of Information Resources Management (M/SER/IRM) or, in many cases, by the office "owning" the system (e.g. the Bureau for Food for Peace maintains and operates the Food for Peace Title II System.)

But the first chapter in this Schedule (Chapter 45), marked "Systems Common to Several or More Offices," covers files which are not associated with any office in particular. These generic categories include such automated files as case tracking files, lists of contractors, administrative housekeeping files, mailing lists, and files of a similar nature. Care should be taken to see that if they exist in one's office, the appropriate disposition stipulated in this chapter is followed.

Major PC and mainframe systems dealing with the official program function of the office can be found in the Table of Contents of this Schedule by broad category (e.g. Financial Management Files, Science and Technology Files) which roughly approximate the major bureaus and offices of the Agency.

If your office has created and/or maintains a major program-related electronic system that is not covered by this Schedule, please call the Records Management Branch so that, in concert with all parties, a disposition can be established.

Some records of importance, such as electronically stored drafts of policy documents should be re-evaluated as changes are made. Substantive updates to such electronic records may constitute new records while minor changes probably do not.

Electronic records should be listed on the office's Files Plan just as are paper records. If it is unclear from the Electronic Records Schedule which item number or category applies to the records at hand, contact the Records Management Branch, whose address and phone number are cited at the end of this Introduction for guidance.

Because of the capacity of electronic systems to store vast quantities of records virtually unnoticed in the system's memory, (as opposed to paper records whose accumulations are very visible), the temptation with electronic records is to forget to destroy them at the time of their authorized destruction. Not only does this undermine the Agency's records management program, but NARA warns that certain legal consequences may arise from such a situation.

If the disposition for a file series is destruction, e.g. "Destroy when 1 year old," destroy the files in the manner appropriate to the medium, e.g. deletion, writing over, throwing out. However, if the files contain restricted or Security classified information, simple deletion of a disk or diskette is not enough. Only by erasure or using a program which will completely overwrite the data to be destroyed can the information be totally eliminated.

Conversely, there are various major systems in the Electronic Schedule that have been designated as permanent, whose files are to be transferred for historical preservation to the National Archives by specific dates. If substantive portions of these systems are on disk or diskette, that portion should be converted to either magnetic tape or paper to comply with NARA's requirements.

Permanent electronic records (or a copy thereof) should be transferred to the Archives as soon as the file has assumed its final form (i.e., with no further alterations or additions), even though it may still be consulted or otherwise used by the Agency. NARA will send back a copy of the tapes if requested.

When the time comes to transfer these records, notify the Records Management Branch, whose address and phone number are given below. The Branch coordinates the transfer so that various NARA requirements such as forms completion are met.

Likewise, if an electronic system is in the process of being designed or developed, please contact Records Management so that recordkeeping capabilities (indexing, disposition-marking) might be built into the system from the beginning.

Record Management's address is: MS/MO/PA/RM, SA-14,
Rm. 1200B, Washington, D.C. 20523-1413. Phone: (703) 875-1749.

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ELECTRONIC RECORDS DISPOSITION SCHEDULE

PART I--MASTER FILES

CHAPTER 45
SYSTEMS COMMON TO SEVERAL OR MORE OFFICES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
45010	Housekeeping Files	
	These files include data processed on systems maintained by operating offices pertaining to administrative housekeeping processes rather than the function for which the office exists, such as travel, personnel, procurement, fiscal accountability, etc. These are primarily word processing or PC files.	If record copy is maintained in hard copy form, destroy when no longer needed. If automated record is only copy, destroy when 2 yrs. old or when no longer needed, whichever is sooner.
45020	Operational Year Budget (OYB) System Files	
	These files contain budgetary data to enable the office to monitor approved project and other funding activity during the operational year and produce required periodic reports.	Destroy when 3 years old.
45030	Case Tracking and/or Implementation Systems Files	
	These systems contain data on the management and implementation of assistance projects and other specific AID case activity such as contracts, grants, audits, participant training, individual personnel security, etc. The systems provide the capability of producing status and other required reports.	Destroy when it has been determined that the purpose has been served. The record copy is maintained in hard copy form.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
45040	Client/Institutional Reference Files	
	These are systems which contain information on individuals, companies, and institutions to provide AID offices with data (capabilities, experience levels of interests, etc.) that is useful in the conduct of the Agency's business. Included are systems which contain address and mailing lists, list of contractors, etc.	Maintain data on a current basis, deleting information that is superseded, obsolete or is no longer needed.
45050	Participant Training Management System (PTS)	
	This system is used to provide data on the AID funded participant training program. The system includes the information on direct AID programs, and on third country training of participants outside the U.S.	Destroy when it has been determined that the information is no longer needed.

CHAPTER 46
EQUAL OPPORTUNITY PROGRAM FILES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
46010	Equal Opportunity Program System This system maintains the minority classification of each AID employee. This data, combined with employee data from the automated personnel system (RAMPS), is used to produce minority information required by EOP and Agency management. A series of standard reports are produced which provide: the current status of employees by sex and minority classification, by location, by occupation, or by age group; a comparative analysis of change in sex and minority patterns; and, current percentage relationships of sex and minority employment.	Destroy when no longer needed but in no case retain longer than 75 years after birthdate of employee.

CHAPTER 47
FINANICAL MANAGEMENT FILES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
47010	Accounts Receivable System	
	This system records basic data from all bills for collection and collection notices issued world-wide, arising from refund and reimbursement activity, excluding loan payments. It provides aging analysis on outstanding bills and summary data for posting to the Accounts Receivable General Ledger accounts.	Destroy when 1 year old. The record copy is maintained in hard copy form.
47020	Allotment Accounting System	
	This system records allotments, obligations, advice of charge and disbursements for AID/Washington funded activities. Provides control over accounting transactions processed by AID/Washington in accordance with legal requirements of the Anti-Deficiency Act and accounting standards of the Government Accounting Office. Produces monthly Trial Balance, Allotment Ledger and Project Ledger Reports, and feeds summary information into the General Ledger.	Destroy when 1 year old The record copy is maintained in hard copy form.
47030	Cash Journal System	
	This system records cash receipts and disbursements processed for AID by U.S. Treasury Disbursing Office in Washington, New York, and through the Federal Reserve Letter of Credit Procedure. Monthly transactions are reconciled with the U.S. Treasury and Allotment Ledger Accounts. Monthly Statements of Transactions (SF 224) are prepared for the U.S. Treasury for New York, Washington, and Federal Reserve Letter of Credit transactions in accord with Treasury Fiscal Requirements.	Destroy when 1 year old. The record copy is maintained in hard copy form.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
47040	Commodity Pipeline System	
	This system maintains importer and commodity files and produces two reports, the Supplier and Importer listing and a Semi-annual Source Supplier Report produced by State of Production, large business, small business and unclassified business.	Maintain current file with necessary updates every 6 months.
47050	Country Financial Reporting System (CFR)	
	This system reports the financial status for AID/W and USAID (overseas) allotments, obligations, and disbursement activities of funds provided for the Agency's Foreign Assistance program. System reports are designed to show the financial activity pertaining to each recipient country, in summary form.	Destroy when 1 year old. The record copy is maintained in hard copy form.
47060	Full Time Equivalency System (FTE)	
	This system provides an automated means for the Agency to report its full time equivalency work years to OMB and OPM. OPM monitors the FTE from agencies each month. OMB uses the FTE as part of the budget formulation process. FTE information is obtained biweekly from the payroll systems and monthly from the overseas missions via cable. Reports generated monthly are: 1) Report of Full-time Equivalent/Work-year Civilian Employment (SF-113G) and 2) Internal reports by Bureau, Office and Division.	Destroy when 5 years old.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
47070	Funds Control System	
	This system maintains data on the availability and allotment of funds for Agency appropriation accounts, and the data to determine status of Operational Year Budget to which allotments are matched for fund availability and conformity.	Destroy when 3 years old.
47080	General Ledger Accounting and Reporting System (GLARS)	
	This system maintains the accounting and reporting status of all general ledger loan accounts under the jurisdiction of the Agency.	Destroy when 6 years old.
47090	Host Country Reporting System	
	This system provides summary and detailed information pertaining to those country contract and subcontracts over $100,000 with U.S. firms. This information is embodied in reports which can be produced on-demand or as scheduled.	Destroy when 6 years old.
47100	Letter of Credit Support System (LOCSS)	
	This system provides the ability to enter and monitor activity related to letters of credit issued by the agency worldwide. All letter of credit drawdown and expenditures activity which affects management decisions is collected via interactive panels and presented through on-line display or hardcopy reports.	Destroy when 6 years old.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
47110	Loan Accounting and Information System (LAIS)	
	This system maintains a data base of accounting and implementation information for each loan authorized. Monetary data such as disbursements, deobligations, interest payments, and principal collections are maintained in summary and detail.	Destroy when 6 years old.
47120	Management Operating Expenses Budget System (MOB)	
	This system provides the Functional and Object Class Schedules for each AID organization responsible for preparing operating expense budgets. These schedules are tabulated by overseas region, AID/W and world-wide; reports are generated displaying statistical analyses of the budget data. The system also has built-in capability to produce miscellaneous reports to answer ad hoc questions.	Destroy when 5 years old.
47130	New American Payroll System (NAPS)	
	This system computes the pay for all AID/W and U.S. Nationals overseas every two weeks. The system includes: a personnel system interface; time and attendance processing; pay computations; production of check and bond issuance files; and reports pertaining to pay benefits, and taxes (e.g., withholdings and contributions to health insurance, life insurance, civil service retirement, and foreign service retirement, etc.).	Destroy when 18 months old. The record copy is maintained in hard copy form.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
47140	Nigerian Participant Payment System (NPPS)	
	This system produces check reports to be processed by the U.S. Treasury Department for monthly payment to Nigerian participants for maintenance and special allowances. It accounts for the PIO/P budget and each disbursement made to each Nigerian participant and against the PIO/P budget. The summary gives PFM/FM information on the status of the Nigerian participant fund transferred to AID from the Government of Nigeria.	Destroy when 5 years old.
47150	Participant Payment System (PPS)	
	This system records funding, budget and disbursement data on AID sponsored participants. Checks and enclosure cards are produced by Treasury Department from the monthly tape output from this system. Various analyses of the status of the "Master Disbursing Account" are produced.	Destroy when 5 years old.
47160	Payroll Cost Accounting System	
	This system summarizes payroll data taken from the payroll system into accounting data used by AID offices and USAIDs. The system also interfaces with the Allotment Accounting System to consolidate data necessary for the Agency's monthly Flash Report of allotments and obligations.	Destroy when 1 year old. The record copy is maintained in hard copy form.
47170	Permanent Storage Accounting System	
	This system provides data on storage of household effects of employees, gathered to allow central accounting control of and prompt payment for these services.	Destroy when 6 years old.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
47180	Project Accounting Information System (PAIS)	
	This system provides quarterly reporting of all dollars and U.S. owned local currency obligated and expended for all AID funded projects. It also maintains projections for U.S. dollar obligations and expenditures for use in monitoring financial progress (planned vs. actual).	Destroy data when no longer needed.
47190	Program Assistance System	
	This system records obligations, disbursing authorizations and expenditure data for Program Assistance (non project) activities, and provides reports to the Controller, the mission, bureaus and country governments.	Destroy 2 years after program completion date.
47200	Travel Advance Accounting System	
	This system maintains information on the issuance of travel advances, collection of recoveries for advances issued, and generates documents necessary for collection of delinquent balances. The system maintains sufficient data to provide an audit trail of up to a maximum of twenty advance and forty recovery documents by document date and number. The system produces notices to traveller/supervisors of past due balances or payroll deduction requests, as appropriate, as well as detail and summary reports of travel advance information.	Destroy when 6 Years old.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
47210	U101 System	
	This system processes a monthly Summary of Allotment Ledger Transactions and Reconciliation with Disbursing Officer's Account which covers U.S. dollar funds allotted to missions. It provides basic information for General Ledger appropriation and the preparation of Agency-wide monthly reports which set forth the accomplishments of the mission in financial terms.	Destroy when 1 year old. The record copy is maintained in hard copy form.
47220	Zero Balance File	
	This system accumulates and connects transactions (schedules, vouchers, and supporting documents) daily which are used to produce accounting and statistical reports of annual appropriations in other commodities subsystems.	Destroy when 3 years old.

CHAPTER 48
FOOD FOR PEACE AND VOLUNTARY ASSISTANCE FILES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
48010	Dairy Commodity Distribution System	
	This system assists the Office of Food for Peace and the Office of Acquisition and Assistance Management in carrying out dairy commodity distribution (Section 416). The reports produced assist in the budgeting, procurement, booking, and shipping of the dairy commodities.	Destroy when 3 years old.
48020	Food for Peace Title I System	
	This system maintains data on the concessional sale of agricultural commodities to countries, and allows the AID Office of Food for Peace to maintain current and accurate budget and approval data and to monitor the status of PL 480 Title I agreements and shipments.	Destroy when 3 years old.
48030	Food for Peace Title II System	
	This system maintains price and volume data on surplus agricultural commodities destined for overseas distribution based on PL 480 Title II grants. The reports produced assist personnel of AID and the Department of Agriculture in the budgeting, programming, procurement, allocation, shipping, and distribution of over 300 million dollars worth of wheat, rice, corn, and other foodstuffs.	Destroy when 3 years old.
48040	Ocean Freight Statistics System	
	This system maintains information on pounds shipped and value and freight cost of each commodity allowed for shipping to a designated country by an individual PVO. The information is consolidated, validated, and disseminated and then used for the allocation of AID funds for the reimbursement of qualifying ocean freight costs.	Destroy when 3 years old.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
48050	Private Voluntary Organization System (PVO) This system provides a central data base for private voluntary organization activities from which annual reports can be made and provides a capability to respond to congressional *ad hoc* requests. The system provides the basis for information exchange and is used by the Agency to identify its programs through the voluntary agencies as required by F.A.A., as amended.	Destroy when 2 years old.

CHAPTER 49
GEOGRAPHIC BUREAU'S FILES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
49010	SFWA Admin. (AFR/SWA - Status of Obligations) System	
	This system maintains information on OYB allotments and obligations for eight Sahelian countries and Guinea-Bissau totaling over $100 million in Drought Allotment and Economic Support Funds. It also includes information on Congressional Notifications, Section 121 (d) requirements and actions required to achieve obligation of funds.	Destroy when 1 year old.
49020	AFR/ARD Functional Information System (FIS)	
	This information system provides comprehensive quantitative data for bilateral and regional agricultural and rural development projects for the African Bureau.	Destroy when no longer needed for current work.
49030	NBCCA Tracking System	
	The Kissinger Commission Tracking System (KCTS) tracks progress on implementing the 31 recommendations made by the National Bipartisan Commission on Central America (NBCCA). KCTS is divided into three distinct data bases: financial information, project outputs, and social and economic indicators. All data bases are on Lotus 1-2-3 spreadsheets.	Permanent. Transfer to NARA with all related documentation when the system has been discontinued.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	49030 (Continued) The financial segment tracks project inputs in three forms: dollars, ESF counterpart, and PL 480 generated local currency. This information is recorded by country program. Within each program, projects (including housing and trade guarantees and OPIC funded guarantees and projects) are divided according to the four broad goals of the Central American Initiative (CAI): 1) Financial Stabilization, 2) Economic Transformation, 3) Spreading the Benefits of Economic Growth Broadly, and 4) Promote Democratic Institutions and Processes. Each line item (i.e., project) lists goal number, project number, project title, funding source, a primary and secondary code for the NBCCA recommendation(s) it responds to, grant, loan, or counterpart, and for FY 84 (Supplemental) - FY 89 dollars, ESF-generated local currency, and PL 480-generated local currency obligated. This data feeds into three summary charts: recommendations, funding sources, and goals. Project outputs are recorded in the same format as the Bureau's Semi-Annual Report with an addition of five Prominent Indicators that are being tracked across the region. Each program is contained in a separate file and information is divided by project. Each project lists basic project information (project number, project title, start and completion	

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	date) and major outputs. For each output, the following information is provided: applicable NBCCA code, planned outputs (life-of-project, cumulative this quarter, this quarter and next quarter), accomplished outputs (cumulative and this quarter). The following common prominent indicators are recorded by output where applicable: land titles issued, number of immunizations, ORT packages dispersed, persons trained short term in country, U.S. or third country, persons trained long term. The third group of data is a set of 44 economic and social indicators for each of the Central American countries including Panama and Belize for the years 1960, 1970, 1975, 1980-85.	
49040	ANE Waiver File	
	File consists of a record of Mission approved and issued procurement waivers.	Destroy when 5 years old.
49050	ANE Environmental Activities Automated Data System (NVADS)	
	File consists of specific data from environmental related industry and government studies and reports for use by the environmental protection specialist in centralizing widely dispersed resource information.	Destroy when 5 years old.

CHAPTER 50
MANAGEMENT BUREAU FILES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
50010	Bulk Cargo Analysis Program (BCAP)	
	This system records and monitors data generated through AID's Commodity Import Program and the Israeli Cash Transfer Program. BCAP serves as a tool for monitoring the division of tonnage and revenue between U.S. and foreign flag vessels.	Destroy when 3 years old.
50020	Commodity Statistics	
	This system produces the semi-annual Program Assistance Commodity Analysis reports containing historical date on the Agency's commodity activities. These reports are by agreement within country by commodity on a world-wide basis. There are also quarterly reports titled "Disbursement by Supplier" and "Disbursements by Commodity" used by PFM/FM and PPC. These reports are used for program planning and audit purposes.	Destroy when 3 years old.
50030	Excess Property File	
	This system maintains and tracks the Section 608 inventory from acquisition to issue in a manner that facilitates the management and auditing of all equipment.	Destroy in accordance with disposition instructions contained in App. 6A, AID/W Schedule, Item 16260.
50040	Motor Vehicle Inventory System	
	This system assists in planning and control of the Agency's Motor Vehicle fleet. From data submitted by the missions, quarterly inventories are produced by country and region. An estimated depreciation schedule is also calculated.	Destroy in accordance with disposition instructions contained in App. 6A, AID/W Schedule, Item 16390.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
50050	Non-Expendable Property File	
	This system was designed to provide an inventory of all AID personal property. It provides management with a tool to evaluate personal property requirements and costs against mission needs; equipment usage and turnover; and direction toward reducing inventory costs. It supplies the missions with: data which reduce the frequency of physical inventories; standardized reporting procedures and periodic or ad hoc reports reflecting status of personal property worldwide.	Destroy in accordance with disposition instructions contained in App. 6A AID/W Schedule, Item 16240
50060	Ocean Transportation File	
	This system provides two reports and an updated Ocean Transportation Balance Forward file. The reports list commodities by a predesignated code totaling the commodities by tonnage and dollar values.	Destroy when 1 year old. The record copy is maintained in hard copy form.
50070	Revised Automated Manpower and Personnel System (RAMPS)	
	This system provides information in the specific areas of position and ceiling management, staffing patterns, employee evaluation, promotions, assignments, training, and Merit Pay. All notifications of personnel action (SF-50's) are produced by RAMPS. A civilian personnel data file is also created for the Office of Personnel Management.	Destroy when no longer needed but in no case should it be retained longer than 75 years after the birthdate of the employee.

CHAPTER 51
PROGRAM AND POLICY COORDINATION FILES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
51010	Country Program Data Bank System (CPDB)	
	This system provides a readily accessible central source for planning and budgeting information on all Agency project activities. It also facilitates monitoring the processing of new projects by responsible AID/W offices and preparation of budget documents. At the project level, the system includes all new and on-going Agency funded project activities proposed by field missions and by AID/W offices, from the project identification document stage through project review and approval, and authorization of funding.	Destroy when 3 years old.
51020	Development Information System (DIS)	
	This system is used to provide AID project designers with information on development of projects and programs, technical data specifying what is state-of-the-art in project-related technologies, and bibliographic material to be used in analyzing project oriented problems. System contains summaries of all project Papers, Evaluation Reports, and Contractor Reports on development assistance projects since 1974.	Permanent. Transfer a copy of the system with pertinent documentation to NARA in 1988. Transfer updates of system every five years thereafter.
51030	Economic & Social Data Base System (ESDB)	
	This system maintains economic and social data relevant to the Agency's design, evaluation, and monitoring activities in developing countries from which country profiles are provided. The data provides a central repository for use in statistical analysis and studies aimed at identifying opportunities for development programs, designing development projects, and evaluating the results of the projects.	

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	(continued) a. Ad Hoc Reports	
51040	(1) Electronic Format.	Permanent. Transfer to NARA with related documentation on an annual basis.
51050	(2) Other Formats.	See Item 01390 of App. 6A, AID/W schedule for disposition instructions.
51060	b. Active Data Base	Delete data when superseded by new data. Destroy when data base becomes inactive.
51070	Loan/Grant System (LGS)	
	This system facilitates the storage, retrieval, and reporting of historical loan/grant data compiled by the U.S. Government and by international organizations. Tables with summarized loan/grant information are produced by the LGS for inclusion in reports required by AID and Congressional Committees concerned with foreign aid. The reports are: Annexes to the Congressional Presentation (CP), "U.S. Overseas Loans and Grants and Assistance from Other International Organizations" reports and the "U.S. Overseas Loans and Grants - Obligations and Loan Authorizations" report. The latter two are informally referred to respectively as the Greenbook and the Modified Greenbook (Greenbook by Year).	Destroy when purpose has been served. The record copy is maintained in hard copy form.
51080	PPC Operational Year Budget System	
	PPC/PB continuously monitors the Agency-wide Operational Year Budget (OYB) through an interactive data entry and retrieval system. The OYB is maintained at a relatively high summary	Destroy when 1 year old. The record copy is maintained in hard copy form.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
51080	(continued) level, i.e., funding source within country. Throughout the fiscal year, data in the form of Congressional Notification is entered from and reconciled with source documents from the Central and Regional Bureaus. The results are then relayed to an OMB computer system.	
51090	Program Budget Data System (PBDS) This system collects data in Zero Base Budget format from the Annual Budget Submissions by project, appropriation, level priority ranking and decision package. It assists PPC and the bureaus in analysis, manipulation and final presentation to OMB and the Congress.	Destroy when 3 years old.
51100	Program Data Analysis Control File (PDAC) This system provides PPC/PB with the capability to maintain country and account control levels for the Congressional presentation and other Congressional reports. The system contains financial data maintained in summary levels for AID/W and mission allotment, obligations, and disbursements.	Destroy when 1 year old.

CHAPTER 52
SCIENCE AND TECHNOLOGY FILES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
52010	AID Health Information System	
	The data identified for all AID health projects since 1975 includes region, title, project number, beginning and end funding years, funding data for past, current and projected funding obligations by years: identification of implementing U.S. and/or host country agent and a variety of activity and purpose codes: evaluation information; and identification of other donor organizations. Relevant project data on training, commodities, and technical assistance personnel is included, as information is available.	Permanent. Transfer a copy of the system with related documentation to NARA in 1988. Transfer updates every five years thereafter.
52020	Population Projects Database (PPD)	
	Database includes information on all population assistance projects: funding figures, descriptive information about the objectives of the program, the program's goals and special concerns, host country identification, project and contractor identification and end of project assessment. The data base is updated periodically by the Population Information Program at Johns Hopkins University, Baltimore. Database is updated on a continuous basis.	Permanent. Transfer a copy of the system with related documentation to NARA in 1988. Transfer updates every five years thereafter.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
** 52030	Demographic and Health Survey Program (DHS) Datasets for DHS surveys consist of individual women's data (standard DHS survey), household data, service availability data, male or husband data, experimental survey data and in-depth survey data. Datasets are arranged alphabetically by country in flat file format. a. Raw data files contain the womens' data in the form in which the data were collected on the questionnaire. Each raw data file contains fully edited data with inputed dates of key events in the respondent's life added to the data file. b. Recode data files contain the womens' data in a standardized format which is comparable across countries. Each recode data file contains all of the standard variables in fixed locations, with all country-specified variables added after the standard variables. Recode data files may also contain many constructed variables for the convenience of the analyst.	Permanent. For each survey transfer as flat files the final edited datasets to the National Archives when all datasets from a single survey are ready for distribution or at the conclusion of the contract, whichever comes first. When individual raw data and individual recode data exist, also include in transfer. Also include all system related documentation including all related printed reports. The contractor will transfer directly to NARA the record as indicated. Upon receipt NARA will ask Records Management Branch to execute transfer documents. (N1-286-91-1)

**

** New Materials

CHAPTER 53
U.S. FOREIGN DISASTER ASSISTANCE (OFDA) FILES

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
53010	Preparedness Tracking File	
	This system provides a record of OFDA-sponsored disaster preparedness activities. The information recorded contains a project title, type of activity (e.g., grant, inter-agency agreement, technical assistance, or mission allotment), fiscal year(s) of project, total cost figure, dates of project, geographic region, location of preparedness activity, benefiting country(s), and contract number. In addition to these fields, project abstracts provide more detailed information on project objectives and goals, cost breakdown, OFDA project officers, available reports, and source of data. Data can be retrieved by any of the above-mentioned fields to generate preparedness activity reports by type of activity, geographic region, country, OFDA project officer, location of an activity and fiscal year(s).	Permanent. Transfer a copy of the file with related documentation to NARA in 1988. Transfer updates every five years thereafter.
53020	Disaster History File	
	The OFDA Disaster History file includes all declared disasters since OFDA began operations in 1964 and other major disasters since 1900. The history is updated quarterly to keep the file current. The page format for the history file includes columns for the disaster number, the strike and declaration dates, the number killed, the number affected, the number homeless, and the dollar damage. The history was reformatted in 1985 to include a comments field. This permits the inclusion of descriptive notes on each disaster, information which could not otherwise be incorporated in a statistical table.	Permanent. Transfer a copy of the file with related documentation to NARA in 1988. Transfer updates every five years thereafter.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
53020	(continued) The history data can be sorted by country, region, fiscal year, declaration date, and disaster type. In addition, selective sorts can retrieve such specialized information as: any disaster in which more than 1,000 people were killed; all hurricanes which occurred between October and November in the Caribbean; floods in Andean countries which affected 500 people or more.	
53030	Summary Tables File The Tables are a summary of the financial data included in the disaster case reports and as such are a concise and handy record of the financial assistance provided by the Federal Government, U.S. voluntary agencies, and the international community in all OFDA-declared disasters. When the dollar value of self-help is known, that is also included. The USG assistance is broken down by IDA funds, other Federal assistance, and P.L. 480 contributions. The Summary Tables are updated annually to record AID and other disaster assistance for the fiscal year just ended. The data can be used to show assistance by country, by region, and by disaster type, as well as by fiscal year for the period 1964 to present. The data can also be displayed in graph format.	Permanent. Transfer a copy of the file with related documentation to NARA in 1988. Transfer updates every five years thereafter.
53040	Commodity/Service File The Commodity/Service file is a record of all commodities or services the United States Government has provided for disaster relief. Entries include everything from tents and water purification units to technical assistance and PVO grants. Each record	Permanent. Transfer a copy of the file with related documentation to NARA in 1988. Transfer updates every five years thereafter.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
53040	(continued) includes the fiscal year, disaster type, commodity/service, agency the commodities or services were provided through (e.g., the local Red Cross), quantity and unit, cost, location of procurement (e.g., Leghorn stockpile) and comments. The data can be sorted by any of these fields to answer a number of questions on OFDA assistance. This information can also be generated and displayed in graph format for use in Congressional Qs & As, cost comparisons, and studies of trends in OFDA response.	

PART II--PROCESSING FILES

CHAPTER 60

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
60010	Work File	
	New media, or media not included in a library control system, or files whose retention dates have expired which are used by computer operators to facilitate the processing of a specific job and/or system run.	Available for immediate use or reuse.
60020	Test File	
	Data used in testing a system which are routine or benchmark data sets constructed or used for the purpose of testing.	Destroy when no longer needed.
	Input/Source File	
	Data abstracted from input/source documents or other media and entered into the system for each update cycle, that is:	
60030	a. Converted to magnetic media	Destroy after verification of data on related magnetic media.
60040	b. Used for updating and required to support reconstruction of a master file	Destroy after three or more update cycles.
60050	c. Not used as input to a file and not required to reconstruct a master file	Destroy when no longer needed.
60060	d. Retained by ADP operational elements as back-up to magnetic media.	Destroy when no longer needed.
60070	e. Officially designed to replace or serve as the record copy in lieu of the hard copy or other input/source document	Dispose of in accordance with instructions applicable to the hard copy.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Input/Source File	
	Data created by another agency.	
60080	a. Files that the creating agency routinely made available to other agencies or to the public.	Dispose of as reference material.
60090	b. The result of a request of the receiving agency for a special tabulation, extract, or master files designed to meet the needs of the the receiving agency.	Destroy in accordance with receiving agency's instructions.
60100	Intermediate Input/Output File	
	Data that is manipulated, sorted and/or moved from one run to a subsequent run which are used in the process of creating or updating a master file.	Destroy after master file has been proven satisfactory.
	Valid Transaction File	
	Data used with a master file for creation of an updated master file, that is:	
60110	a. Used for independent analysis.	Destroy when no longer needed.
60120	b. Not used for independent analysis.	Destroy after three or more update cycles.
60130	Audit Trail File	
	"Statistical" data generated during the creation of a master file which are used to validate a master file during a processing cycle.	Dispose of in accordance with instructions for each appropriate cycle of the master file.

PART III--DOCUMENTATION

CHAPTER 61

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	Data Systems Specifications	
	Documents containing definition of the system including functional requirements, data requirements, system/subsystem specifications, requests for the system, and authorizing directives which are:	
61010	a. For a disapproved proposed system.	Destroy one year after final action.
61020	b. For an approved system for which all related magnetic data files are authorized for disposal.	Destroy one year after discontinuance of the system.
* 61030	c. For an approved system for which any related magnetic data file is not authorized for disposal. *	Retain with related data file.
	System Test Documentation	
	Descriptive material including test plans and test analysis reports:	
61040	a. For an approved system.	Destroy one year after completion of testing.
61050	b. For a disapproved proposed system.	Destroy when no longer needed.
	File Specifications	
	Definitions of the logical and physical characteristics of each record, element or item of data in the file, including names and tags or labels; relative position, form, format and size of data elements (record layout); specifications of all codes used; cross-	

* Revised

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
	(continued) reference code manual; security and privacy restrictions; and validity characteristics; update and access conditions; recording medium and volume; sample copy of each input/source document, that is:	
61060	a. For a system for which all related magnetic data files are authorized for disposal.	Destroy with related data file.
61070	b. For a system for which related magnetic data file is not authorized for disposal.	Retain with related data file.
61080	User Guides	
	Information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability and when and how to use it; serves for the preparation of input data and the interpretation of results which are handbooks, guides to data availability, and procedures for querying files.	Retain with data systems specifications.
61090	Output Specifications	
	Detailed descriptions of products of the system that are to be used outside the computer center which are listings of each type of output by title and tag, format specifications, selection criteria, volume and frequency, media, graphic displays and symbols, security and privacy conditions, and disposition of output.	Retain with related data file.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
61100	Reports	
	Printed final reports containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed.	Retain one copy with related file specifications.
	Information Retrieval	
	Series of machine instructions designed to retrieve information from specific data systems.	
61110	a. General-purpose programs.	Destroy when no longer needed.
61120	b. Special-purpose programs for data files for which disposal is authorized.	Destroy with related data file.
61130	c. Special-purpose programs for data files for which disposal is not authorized.	Retain with related data file.

TRANSMITTAL MEMORANDUM CHECKSHEET
FOR HANDBOOK 21, PART II -- RECORDS MANAGEMENT

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21-II:2	_____	21-II:26	_____	21-II:50	_____
21-II:3	_____	21-II:27	_____	21-II:51	_____
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21-II:5	_____	21-II:29	_____	21-II:53	_____
21-II:6	_____	21-II:30	_____	21-II:54	_____
21-II:7	_____	21-II:31	_____	21-II:55	_____
21-II:8	_____	21-II:32	_____	21-II:56	_____
21-II:9	_____	21-II:33	_____	21-II:57	_____
21-II:10	_____	21-II:34	_____	21-II:58	_____
21-II:11	_____	21-II:35	_____	21-II:59	_____
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INDEX TO THIS HANDBOOK

This index is derived from the Master Index to the AID Handbook series issued under TM HI:2.

The underlying approach to the Master Index is one of unity, with the series of AID Handbooks considered as a single entity in which topics may appear in one, or more than one, of the component volumes.

Each entry in the Master Index that includes a reference to this Handbook is reproduced here in its entirety, thus providing both a guide to this Handbook and useful references to other Handbooks.

The formats for location citations are intended to match their appearance on the Handbook pages. Beyond the standardized Handbook number with its following colon, the citations used in the index reflect the different formats used in the individual Handbooks themselves.

UNDERSTANDING THE CITATIONS

The standard codes and messages that appear throughout the index, and their exceptions, are defined in this section. It is recommended that all users read this section before using the index.

LOCATION CITATIONS

The location citations are grouped in the following pattern:

Handbook number, colon, Chapter number, Paragraph letter, and further breakdown where needed.

The abbreviations such as App. for Appendix; Att. for Attachment; and Sup. for Supplement are also included in the citations wherever necessary.

Special cases and cross reference messages are described on the following page.

An example of the format used is as follows:

AID Financed Export Opportunities 1B:23A2a(3); 15:10C1a(1)

where the term "AID Financed Export Opportunities" is located in Handbook No. 1B, Chapter 23, Section A2a(3); and Handbook 15, Chapter 10, Section C1a(1).

SPECIAL CASES

Although the majority of the location citations follow the pattern described previously, there are these exceptions:

- In some of the Handbooks, a majority of the text is reprinted from the Foreign Affairs Manual (FAM). All FAM citations are marked by a '#' sign before the section number.

- A major portion of Handbook 14 is composed of the Federal Acquisition Regulation (FAR). All citations to this publication are cited as 14:FAR(section number).

- Three Handbook supplements that are basically separate volumes are cited as, 1B: (Procurement Policy), 3A: and 3B: (Project Managers Guidebook).

- In Handbooks which contain both Parts as well as Chapters, the Roman numeral Part number is separated from the Arabic Chapter number by a dash (-). For example: 21:I-2A8, a citation to Chapter 2 of Part I of Handbook 21.

CROSS REFERENCES

These references provide direction for selection of index terms:-

A '<u>see</u>' reference points from an unused term to the one that is used.

'x' is the reverse of <u>see</u> (do not bother to look) and provides a guide to terms that are <u>not</u> used in the index.

'<u>see also</u>' points to terms that are closely related.

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CHAPTER 7

VITAL RECORDS

7A. Purpose

To establish policy, responsibilities and provide guidance for implementation of the Vital Records Program within AID.

7B. Objective

To ensure the relocation and safe storage of the Agency's vital records, and to determine which records are emergency operating and which records are rights and interests.

7C. Scope

To apply to all offices that maintain emergency operating and rights and interest records.

7D. Authority

The statutory basis for these requirements is contained in the Federal Records Act of 1950, (44 U.S.C. 3101-3107) as amended, Executive Order 12656, and 36 CFR 1236.

7E. Definitions

1. Contingency - A possible event that must be prepared for such as an emergency.

2. Continuity - To go on with selected AID programs in an actual state of contingency operating conditions (the survival phase).

3. Copy - A reproduction of the contents in an original document, prepared simultaneously or separately, usually identified by function or by method of creation.

4. Directive - An issuance that guides, instructs, and informs employees in their work. Included are formalized statements of policy and procedures. AID directives are issued as Handbooks and Mission Notices.

5. Emergency Operating Records - Records vital to the essential functions of the Federal Government for the duration of an emergency.

6. Inventory - (For vital records purpose) a survey of basic and indispensable records necessary for the operational continuity of selected AID programs under unusual conditions.

7. Maintenance of Records - All operations incidental to the upkeep of an organized filing system.

8. Recovery - To restore AID programs from a contingency state to their usual state under normal operating conditions (the rebuilding phase).

9. Rights and Interests Records - Records essential to the preservation of the legal rights and interests of individual citizens and the Federal Government.

10. User - For vital records purposes as used in this chapter is the office identified as having vital records, either emergency operating or rights and interest, that are automated.

11. Vital Records - The basic and indispensible records necessary for AID program operations under unusual conditions. These specially selected records are transmitted to and serviced at alternate storage sites.

7F. Policy

It is AID policy: to designate and protect its essential records against any type of emergency; to ensure the survivability of documents required by an office for essential operations under a national emergency; to ensure that documents are available to plan and implement reconstitution of Agency programs once the situation has stabilized; and, to standardize duplicate files material selection, distribution, filing, safeguarding, and storage.

7G. Responsibilities

1. AID Vital Records Committee

The AID Vital Records Committee may be established (in accordance with HB 17, Chapter 41), to ensure the relocation and safe storage of the Agency's vital records as follows:

a. Committee Membership

(1) The Committee may be chaired by the Director of Management Operations (M/SER/MO).

(2) The Committee will meet at least annually and/or as often as necessary to carry out the program.

(3) Membership consists of one representative (and alternate) from:

(a) Executive Secretariate (ES).

(b) The Office of U.S. Foreign Disaster Assistance (OFDA).

(c) Each of the three geographic bureaus.

(d) The Bureau for Program and Policy Coordination (PPC).

(e) The Bureau for Personnel and Financial Management (PFM).

(f) The Directorate for Program and Management Services, Office of Information Resources Management (M/SER/IRM).

(g) The Directorate for Program and Management Services, Office of Management Operations, Communications and Program Management Division (M/SER/MO/CPM).

(h) The Directorate for Program and Management Services, Office of Management Operations, Policy and Analysis Division (M/SER/MO/PA).

b. Ex Office Membership

(1) The Office of the Inspector General (IG).

(2) The Records Management Division, Executive Secretariat, Department of State (S/S - IRM/RMD).

c. Functions of the Committee

The Committee will:

(1) Develop and monitor the vital records administration incorporating and coordinating the following concepts:

(a) Sufficient allocation of organizational resources.

(b) The positive effect of recorded information on the continuity and preservation of AID programs in continuity situations.

(c) A basically simple, sound economical plan capable of rapid and continuous implementation so as to be in place prior to the occurrence of contingency situations.

(d) A level of protection of AID vital records based on the concept of all relative rather than absolute security, to avoid imposing excessive administrative cost and complexity.

(e) Conformity and coordination with counterpart Department of State's contingency planning and vital records programs, i.e., Emergency Evacuation and Planning Management.

(2) Provide staff assistance on specific relocation problems and ensure that the program meets the requirements of overall emergency relocation planning.

(3) Determine which records are needed with respect to emergency functions that may be assigned to AID.

(4) Periodically review the Vital Records Program (policy, responsibilities, procedures) to ensure its effectiveness.

2. Operating Offices

a. Emergency Operating Offices

(1) Office of the Administrator

(a) Designate a Vital Records Liaison Officer and notify the Records Management Branch (M/SER/MO/PA/RM). The Vital Records Liaison Officer will:

1. Determine in conjunction with the requirements of Handbook (HB) 20, Chapter 3E, National Emergency Planning Program, those records which would be required to maintain the continuity of its essential functions.

2. Submit form AID 5-84, Inventory of Emergency Operating Records (Attachment 1) by April 3 of each fiscal year to M/SER/MO/PA/RM and/or update as necessary.

(b) Notify M/SER/MO/PA/RM of any organizational changes affecting vital records.

(2) Office of the U.S. Foreign Disaster Assistance (OFDA).

(a) Designate a Vital Records Liaison Officer and notify M/SER/MO/PA/RM. The Vital Records Liaison Officer will:

1. Determine in conjunction with the requirements of HB 8, Foreign Disaster Assistance, those records which would be required for Mission disaster preparedness.

2. Ensure that USAID Missions prepare and maintain Mission Disaster Relief Plans. Plans should be centrally located, revised annually or as often as needed, and integrated with the Department of State's (DOS) Emergency Planning, Foreign Affairs Handbook (FAH), 12 FAH-1.

3. Submit form AID 5-84, Inventory of Emergency Operating Records (Attachment 1) by April 3 of each fiscal year to M/SER/MO/PA/RM and/or update as necessary.

(b) Notify M/SER/MO/PA/RM of any organizational changes affecting vital records.

(3) USAID Missions

(a) Designate a Vital Records Liaison Officer and notify M/SER/MO/PA/RM. The Vital Records Liaison Officer will:

1. Determine in conjunction with the requirements of HB 23, Chapter 12K, and DOS Emergency Planning, 12 FAH-1, section 1111.6 those records which would be required for emergency action preparedness.

2. Ensure the USAID Missions prepare and maintain the records in accordance with each Mission's Emergency Action Plan.

3. Preposition records at the safehaven so that they are available during testing of various parts of the Plan and/or during an actual emergency.

4. Submit form AID 5-84, Inventory of Emergency Operating Records (Attachment 1) by April 3 of each fiscal year to M/SER/MO/PA/RM and/or update as necessary.

(b) Notify M/SER/MO/PA/RM of any organizational changes affecting vital records.

b. All Emergency Operating Offices will instruct their Vital Records Liaison Officers to do the following in addition to their responsibilities spelled out above.

(1) Prepare form AID 5-85, Transmittal of Vital Records for Safe Storage (Attachment 2), to accompany each item to be sent for safe storage. This transmittal form will constitute the control and finding aid for records at the relocation sites/safe havens.

(2) Ensure that both the form AID 5-85 and the packages containing material to be stored are properly marked to show the office symbol and item numbers. This material will be forwarded to the appropriate mail and distribution office for transmitting to appropriate relocation site/safe haven.

(3) Check supplementary and replacement packages to make sure that the transmittals, form AID 5-85, if marked as replacements, are numbered the same as the items to be replaced. The transmittal forms for replacement should be the same as for those being replaced except for the dates. (This will permit a minimum of handling at the relocation site, i.e., only the entire package will be replaced.)

(4) Ensure that records which are replaced monthly or quarterly are not included in packages requiring different retention periods.

c. Rights and Interests Offices

(1) AID/W

(a) Office of the General Counsel, Assistant General Counsel for Litigation and Enforcement (GC/LE).

(b) Office of International Training, Reimbursable Training Division (OIT/RT).

(c) Bureau for Personnel and Financial Management, Office of Personnel Management (PFM/PM).

(d) Bureau for Personnel and Financial Management, Office of Financial Management (PFM/FM).

(e) Each of the above offices will designate a Vital Records Liaison Officer and notify M/SER/MO/PA/RM. The Vital Records Liaison Officer will:

1. Determine those records required for the preservation of the rights and interest of individual U.S. citizens and the Federal Government.

2. Submit form AID 5-86, Inventory of Rights and Interest Records (Attachment 3) by April 3 of each fiscal year to M/SER/MO/PA/RM and/or update as necessary.

3. Prepare form AID 5-85, Transmittal of Records for Safe Storage (Attachment 2), to accompany each item to be sent for safe storage. This transmittal form will constitute the control and finding aid for records at the Federal Records Center (FRC).

4. Ensure that both form AID 5-85 and the package containing material to be stored are properly marked to show the office symbol and item numbers. This material will be forwarded to the AID Records Depository, Room B-531C, New State who in turn will forward it to the appropriate FRC.

5. Notify M/SER/MO/PA/RM of any organizational changes affecting vital records.

(2) USAID

(a) Participant Training Office

(b) Personnel Office

(c) Financial Management Office

(d) Regional Legal Advisor

(e) Designate a Vital Records Liaison Officer and notify M/SER/MO/PA/RM. The Vital Records Liaison Officer will:

1. Determine those records required for the perservation of the rights and interest of individual U.S. citizens and the Federal Government.

2. Submit form AID 5-86, Inventory of Rights and Interest Records (Attachment 3) by April 3 of each fiscal year to M/SER/MO/PA/RM and/or update as necessary.

3. Prepare form AID 5-85, Transmittal of Records for Safe Storage (Attachment 2), to accompany each item to be sent for safe storage. This transmittal form will constitute the control and finding aid for records at the Federal Records Center (FRC).

4. Ensure that both form AID 5-85 and the package containing material to be stored are properly marked to show the office symbol and item numbers. This material will be forwarded to the designated safehaven or alternate AID Missions. Financial records are to be forwarded to the Controller's office at the designated site.

3. Directorate for Program and Management Services, Office of Management Operations, Policy and Analysis Division, Records Management Branch (M/SER/MO/PA/RM)

In managing the Agency Vital Records Program, M/SER/MO/PA/RM will:

a. Advise Vital Records Officers of needed action.

b. Develop and update, as necessary, the directive on Vital Records.

c. Provide administrative support to the Vital Records Committee.

d. Ensure proper coordination of the Vital Records Program throughout the Agency.

e. Maintain master lists of Agency vital records, both emergency operating and rights and interest.

f. Develop the Agency's Vital Records Schedule.

g. The AID Records Officer serves as the Vital Records Officer.

4. Directorate for Program and Management Services, Office of Information Resources Management (M/SER/IRM)

a. Assist the user in the development of disaster recovery plans Agency-wide that address how critical portions of emergency operations will be accomplished between the loss of a service, data processing installation, and its recovery or restoration. This is to be accomplished by:

(1) Identifying automated vital records, (emergency operating, rights and interests).

(2) Identifying processing requirements necessary to support automated vital records (alternate methods and procedures) i.e.,

(a) Suspending processing.

(b) Using manual or personal computer procedures.

(c) Processing on a backup computer.

b. Maintain a listing of offices having approved disaster recovery plans.

5. Offices Maintaining Automated Vital Records (Users)

Each office that qualifies as a user is responsible for:

a. Developing disaster recovery plans for its respective office in accordance with Automation Security Guidebook, paragraph F, Risk Analysis/Contingency Planning. This guidebook can be obtained from IRM.

b. Internal procedures for approving the plans.

c. Updating the plan as necessary.

d. Submitting a copy of the plan to the appropriate Vital Records Liaison Officer.

7H. Emergency Operating Records

Example of emergency operating records are:

1. Readiness records.

2. Procedural records to implement emergency operations.

3. Records that show the mobilization and protection of material and manpower resources of the Nation (or in the case of overseas, Mission).

4. Records that assist in maintaining public health and safety.

5. Records for essential Civil Defense activities.

7I. Rights and Interest Records

Examples of rights and interest records are:

1. Proof of ownership.

2. Financial records such as monies due AID and debts to employees, vendors and contractors.

3. Retirement records.

4. Payroll records.

5. Insurance claims.

6. Legal proceedings and final decisions.

7. Valuable research papers.

8. Contract files.

9. Equipment Inventories.

10. Building History files.

AID 5-84 (1-89)

INVENTORY OF EMERGENCY OPERATING RECORDS

(Submit Original and 2 Copies to: M/SER/MO/PA/RM, Rm. 1200B SA-14)

ORIGINATING OFFICE *(Service or Staff Office)*: A/AID

PREPARED BY *(Name of Program Official)*	DATE	REVIEWED BY *(Signature of Vital Records Liaison Officer)*	DATE	APPROVED BY *(Signature of approving official)*	DATE
Henry Doe	3/11/89	Jane Doe	3/11/89	Jane Deer	3/12/89

ITEM NO. (1)	ITEM DESCRIPTION *(Name, description, subject, form no., reports control symbol, etc.)* (2)	MEDIA *(Paper, automated, microfilm, etc.)* (2a)	SITE LOCATION (3) MAIN	CO	RO	NAME OR TITLE AND CORRES. SYMBOL OF PERSON SENDING COPIES TO SITE (4)	FREQUENCY OF DISPATCH (5)	SITE MAINTENANCE AND DISPOSITION INSTRUCTIONS (6)
A/AID 14240	List of "critical functions" as spelled out in Executive Order 12656.	Paper	X			A/AID XXX	Replace when revised	Replace when revised
A/AID 14240	Chain of Command. (Persons designated to suceed A.I.D. executive positions in an emergency.)	Paper	X			A/AID XXX	Replace when revised	Replace when revised

SAMPLE

Attachment 1, Ch. 7, HB21, Part II

(TM 21-II:7)

(Instructions on Reverse)

INSTRUCTIONS FOR PREPARING FORM AID 5-84

ORIGINATING OFFICE. Show the office symbol of the office concerned, e.g., M/SER/MO/PA/RM.

PREPARED BY. Enter name of responsible program official, his/her office symbol, and the date prepared.

REVIEWED BY. Each inventory shall be reviewed, signed, and dated by the appropriate Vital Records Liaison Officer prior to approval by the approving official.

APPROVED BY. Each inventory shall be reviewed, signed and dated by the appropriate approving official.

COLUMN 1. Number each new item consecutively, preceded by the symbol for the office concerned as provided in the caption "Originating Office." The item number is used at the site for identification and filing purposes. Item numbers will be assigned by HB 21, Part II, AID/W or USAID Schedules. *(Note: The disposition from the schedule does not apply to vital records.)*

COLUMN 2. Self-explanatory.

COLUMN 2a. Self-explanatory.

COLUMN 3. Indicate (X) site location for each item. A record prepositioned at more than one site will be identified once as a single item, but may require a separate line entry in column 3 for each site. Designate specific regional site locations by showing 1, 2, etc. or each, as appropriate.

COLUMN 4. Self-explanatory.

COLUMN 5. For each item, show as precisely as possible when records will be prepared and forwarded, such as:

Annually _____ days after close of CY (FY)
Semi-annually, Jan. ____ and July ____
Quarterly, Jan. ____April ____July____Oct.____
Monthly, by ____
Weekly, ____ workday
As received or issued (routine distribution)
As completed (or as amended)
(Other, as may be appropriate)

Write out instructions for each item. Do <u>not</u> use ditto marks or other devices.

COLUMN 6. Provide specific instructions for the maintenance, updating, retention, and disposal of each item at the site, such as:

<u>Replacement</u>. Withdraw and destroy replaced item.
<u>Rotation</u>. Withdraw and return replaced item.
<u>Updating</u>. Insert new material. Withdraw and destroy changed or obsolete material.
<u>Add to</u>. Retain previous item. Destroy (return) after____ years.
(<u>Other</u>, as appropriate)

Write out complete instructions for each item. Do <u>not</u> use ditto marks or other devices.

AID 5-85 (1-89)

TRANSMITTAL OF VITAL RECORDS FOR SAFE STORAGE

(TM 21-II:7)

(Submit original and 2 copies)

GENERAL INSTRUCTIONS:
1. Prepare separate form for each item listed on forms AID 5-84 and AID 5-86
2. Office to retain one copy and file by ITEM NO.

OFFICE SYMBOL: A/AID

TO: *(Insert appropriate Relocation Site)* (CLASSIFIED)

ITEM NO.: 14240

DATE OF RECORD TRANSMITTED	VOLUME TRANSMITTED	BOX NO.
3/12/89	1 Cubic foot	1

DOES RECORD REPLACE OTHER MATERIAL IN SAFE STORAGE? [x] YES [ ] NO

IF "YES," SHOW ITEM NUMBER OF RECORD TO BE DESTROYED 14240 *Obtain from office file of "Transmittals" (See item 2 of instructions)*

TITLE OR IDENTIFICATION OF RECORD

List of "Critical functions" as spelled out in Executive Order 12656.

REMARKS

This package replaces the total package 14240.

FROM		
OFFICE NAME: A/AID		SIGNATURE *(Vital Records Officer)*: Jane Doe
ROOM NO. AND BLDG.: 1234 N. S.	TELEPHONE CODE AND EXTENSION: 123-4567	DATE TRANSMITTED: 3/12/89

SAMPLE

AID 5-86 (1-89)

INVENTORY OF RIGHTS AND INTEREST RECORDS

(Submit Original and 2 Copies to: M/SER/MO/PA/RM, Rm. 1200B SA-14)

ORIGINATING OFFICE *(Service or Staff Office)*

PREPARED BY *(Name of Program Official)*	DATE	REVIEWED BY *(Signature of Vital Records Liaison Officer)*	DATE	APPROVED BY *(Signature of approving official)*	DATE

ITEM NO. (1)	ITEM DESCRIPTION *(Name, description, subject, form no., reports control symbol, etc.)* (2)	MEDIA *(Paper, automated, microfilm, etc.)* (2a)	OFFICE LOCATION AND NAME OR TITLE OF PERSON SENDING RECORDS TO DEPOSITORY (3)			FREQUENCY OF DISPATCH (4)	DEPOSITORY MAINTENANCE AND DISPOSITION INSTRUCTIONS (5)	STORED AT OTHER SITES (6)	
			CO	REG.	NAME & CORRES. SYM.			YES	NO
PFM/PM 17010	Copies of folders on Civil Service and Foreign Service A.I.D. employees.	Paper & automated	X		PFM/PM	Annually	Annually, 30 days after close of FY.	X	
	Or[1]								
GC/LE 06050	Copies of Litigation and Enforcement Case Files.	Paper	X		GC/LE	Annually	Annually, 30 days after close of FY.		X
	Note: List each specific record -- use general categories or subjects.								

SAMPLE

1| This would be completed on a separate AID 5-86 because it's a different office.

(Instructions on Reverse)

INSTRUCTIONS FOR PREPARING FORM AID 5-86

ORIGINATING OFFICE. Show the office symbol of the office concerned, e.g., M/SER/MO/PA/RM.

PREPARED BY. Enter name of responsible program official, his/her office symbol, and the date prepared.

REVIEWED BY. Each inventory shall be reviewed, signed, and dated by the appropriate Vital Records Liaison Officer prior to approval by the approving official.

APPROVED BY. Each inventory shall be reviewed, signed and dated by the appropriate approving official.

COLUMN 1. Number each new item consecutively, preceded by the symbol for the office concerned as provided in the caption "Originating Office." The item number is used at the site for identification and filing purposes. Item numbers will be assigned by HB 21, Part II, AID/W or USAID Schedules. *(Note: The disposition from the schedule does not apply to vital records.)*

COLUMN 2. Self-explanatory.

COLUMN 2a. Self-explanatory.

COLUMN 3. Indicate (X) site location for each item. A record prepositioned at more than one site will be identified once as a single item, but may require a separate line entry in column 3 for each site. Designate specific regional site locations by showing 1, 2, etc. or each, as appropriate.

COLUMN 4. Self-explanatory.

COLUMN 5. For each item, show as precisely as possible when records will be prepared and forwarded, such as:

Annually _____ days after close of CY (FY)
Semi-annually, Jan. ____ and July ____
Quarterly, Jan. ____April ____July____Oct.____
Monthly, by ____
Weekly, ____ workday
As received or issued (routine distribution)
As completed (or as amended)
(Other, as may be appropriate)

Write out instructions for each item. Do <u>not</u> use ditto marks or other devices.

COLUMN 6. Self-explanatory.

ELECTRONIC RECORDKEEPING

CHAPTER 8

TELEPHONE SERVICES

This information can be located in Handbook 18, Part V, Information Resources Management. It is contained in Section B as Chapter 10, sub-paragraphs G and H.

CHAPTER 10

TELEGRAMS AND TELECOMMUNICATIONS

This information can be located in Handbook 18, Part V, Information Resources Management. It is contained in Section B as Chapter 10, sub-paragraph F.