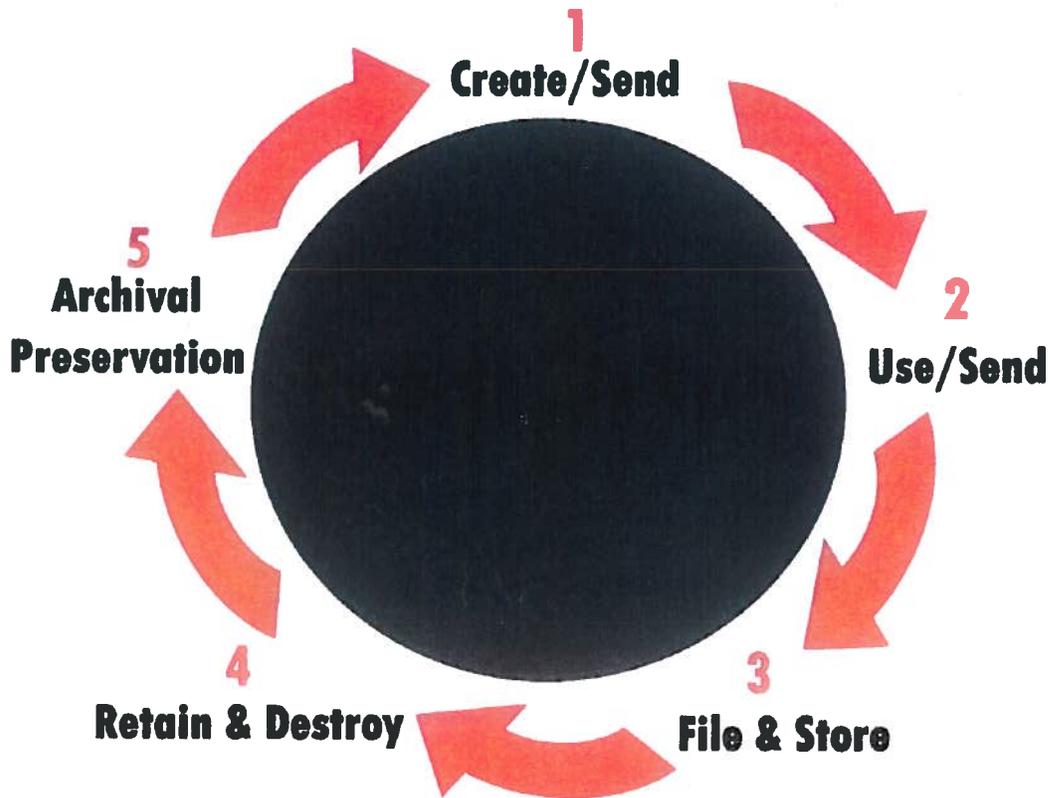




USAID
FROM THE AMERICAN PEOPLE

Records Management Training Guide

“A Guide To All Things Records”



**Bureau for Management/Office of Administrative Services/Information and Records Division
(M/AS/IRD)**

April 2010

This publication was produced for review by the United States Agency for International Development. It was revised and prepared for publication by DKW Communications, Inc.

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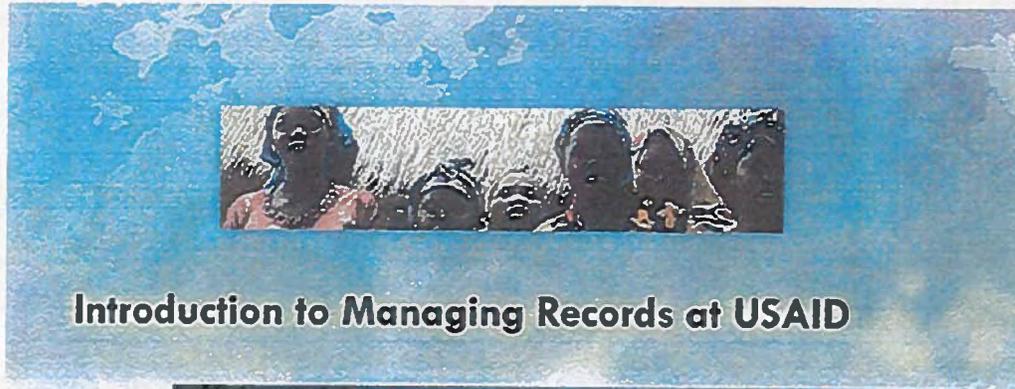
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INTRODUCTION



Introduction to Managing Records at USAID

What is a Federal record?

How do records, non-record materials, and personal papers differ?

Who at USAID has records management responsibilities?

Who and what provides guidance and assistance for records management at USAID?

USAID Records Management is for everyone!

A Message from the Information Records Division (M/AS/IRD) Management Team

USAID's Bureau for Management, Office of Administrative Services, Information and Records Division (M/AS/IRD) along with DKW Communications, Inc. and Carney, Inc. is pleased to present this reference guide to accompany the Online USAID Records Management Training Course (the online course is located within USAID University at <https://university.usaid.gov> or may be obtained from M/AS/IRD via CD-ROM).

This reference guide defines a Federal record; explains the differences between records and non-record materials, such as personal papers, electronic records; and identifies the roles within USAID regarding records management responsibilities.

This guide will enable users to:

- Sharpen the skills acquired in the Online Records Management Training Course;
- Quickly apply those skills; and
- Keep a handy follow-up resource for terms, concepts, electronic links, and practical reference tools.

The guide also includes the following components:

- Table of contents
- Text and illustrations
- Handy reference sections
- Words in **BOLD** are defined in the Resource and Glossary section of this guide
- Examples of the primary USAID records management forms
- Online study course tests
- Contact information for M/AS/IRD records inquiry's
- Helpful links and tips

In conclusion, please note that the USAID M/AS/IRD Records Staff is available to assist you in completing your records management duties.

Thank You,
The USAID Information Records Division Team

The Purpose of Records Management

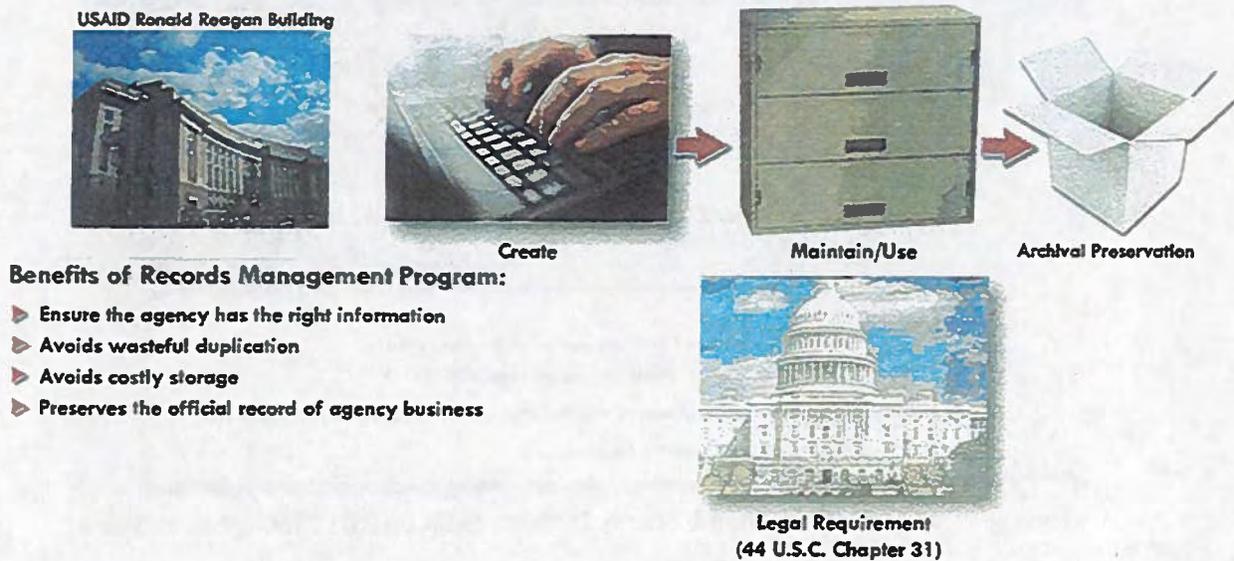


Figure 1

Every Federal agency is legally required under **44 U.S.C. Chapter 31** to maintain and follow a records management program. This program must consist of policy directives and required procedures for managing USAID's records, from their creation through maintenance and use to their final disposition.

A sound records management program enables Agency staff to access the information it needs to conduct official Government business. It prevents file storage overload, institutional paper jams, and avoids wasteful and inefficient duplication of information. It also avoids costly storage of unnecessary **materials** and it preserves the official record of Agency business for legal and archival purposes.

What is a Record?

Federal Record



Figure 2

It is necessary to understand what a Federal record is and what it is not. When you create **documents**, enter information into a database, respond to inquiries from the public, or perform any function that records work-related activities, you are creating **records**. Items of a similar nature received by the Agency are also considered records. To set records apart from other materials and make them easily accessible, the records in each office are managed in official files that are kept at an **official file station**. However, not every document in the office is a record that belongs in the **official file**. For example, some are reference materials, extra copies of documents, working papers, and drafts that are used for daily reading or convenience. These are called **non-record materials** and must be separated from the official files. Lastly, **personal papers** (materials that are not used to conduct Agency business) do not constitute records, so be sure to separate these from official files and clearly label them as personal papers.

Official files are always identified by yellow-coded file labels. Records that are similar in nature are filed together and organized within the framework of an overall filing system. A **file plan** outlines the filing system for your office and specifies how long to keep records. Routinely, you are responsible for segregating inactive files from records eligible for **transfer**, **retirement**, or **destruction** and moving these out of the **filing system** or station.

Official files include:

- Articles
- Directives
- Forms
- Letters/Memos
- Newsletters
- Reports
- Speeches

Other examples of official files include media such as:

- CD-ROMs
- Computer tapes
- Diskettes
- E-mail
- Maps
- Microfiche
- Photographs
- Sound recordings
- Videotapes

Non-record materials are generally those that an employee uses temporarily. Examples of non-records include duplicate copies, blank forms, technical reference materials, and library materials. Non-records are discarded or returned when they have served their purpose and are no longer needed for the work of the individual staff member or office. The individual user or organizational unit determines how non-record materials are filed or organized. Non-record materials are always maintained and filed separately from the official files.

Personal papers are materials belonging to an individual that are not used to conduct Agency business. They relate solely to an individual's private affairs and are used exclusively for that individual's convenience. It is important to keep personal papers separate from official files since they do not reference official business. Examples include personal calendars, diaries, logs of personal activities, and personal reference books.

Who is Responsible for Records Management?



Figure 3

Successful records management relies on effective collaboration among all levels of Agency staff. Although certain staff are assigned specific records management responsibilities, everyone who handles documents as part of their official duties are authorized to file office records in the officially designated file system for common use.

Roles and Responsibilities

1. The Bureau for Management, Office of Administrative Services, Information and Records Division (M/AS/IRD) leads records management at USAID.
2. The management of Bureaus/Independent Offices and Missions (B/IOs and Ms) are responsible for implementing effective records management procedures for their organization. They designate Records Liaison Officers (RLOs) and Communications and Records (C&R) Supervisors, who are responsible for records management.
3. The RLOs and C&R Supervisors work with Agency staff to identify the location of the official file stations and implement the filing system. They also remove records eligible for disposal from office space.
4. For larger offices with a great number of records, a **file custodian** may be appointed to assist the RLO or C&R Supervisor with records management functions. Finally, all Agency personnel and contractors, regardless of their position, must understand and maintain the filing system, and know what records the office retains.

Guidelines and Assistance

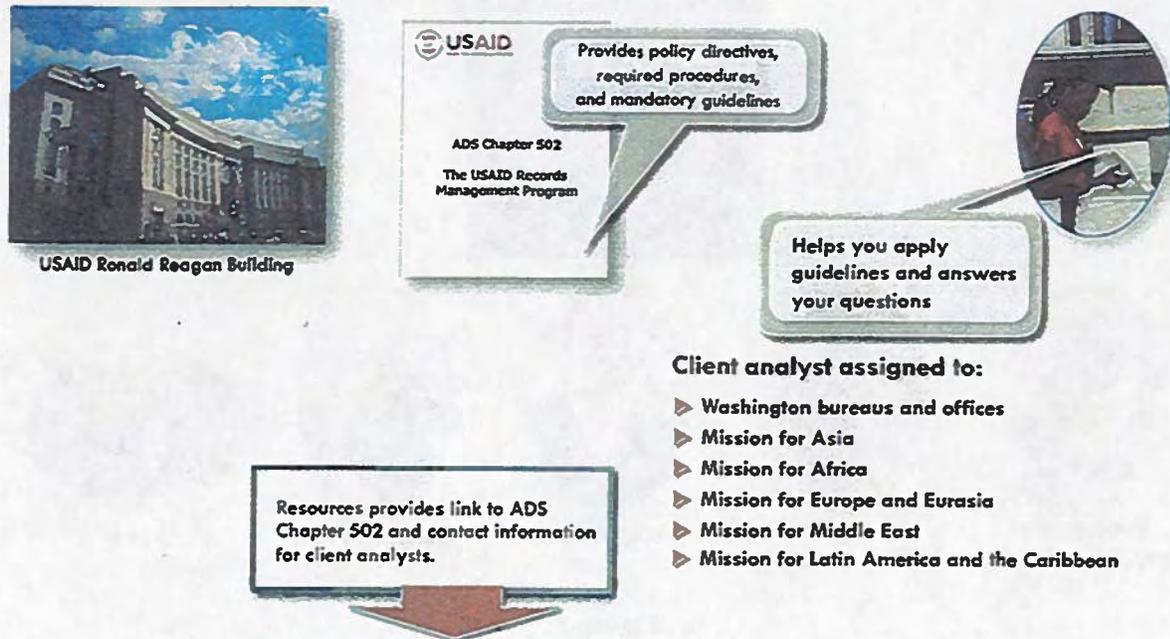


Figure 4

M/AS/IRD provides two major resources for guidance and assistance for records management at USAID.

- **USAID ADS Chapter 502** is a chapter within the Automated Directives System (ADS) that provides policy directives, required procedures, and mandatory guidelines for Agency records management directives.
- **M/AS/IRD Client Analysts** are assigned to each B/IO and M to provide records management support.

Because the work of USAID’s B/IOs and Ms varies widely, ADS Chapter 502 does not prescribe a file structure, but rather provides policy directives, required procedures, and mandatory guidelines for developing and maintaining a records management system appropriate for each office. If you have specific questions after consulting ADS Chapter 502, your M/AS/IRD Client Analyst can help your office apply the Agency’s records management policy and procedures. Please refer to the Resources section of this guide for the list of M/AS/IRD Client Analysts and their contact information.

CHAPTER 1 TEST

1. Indicate whether each document is an official file, non-record material, or a personal paper.

A. Five copies of a contract for use in staff meeting	Official File	Non-record Material	Personal Paper
B. Original copy of a contract	Official File	Non-record Material	Personal Paper
C. Library book on crop rotation	Official File	Non-record Material	Personal Paper
D. Employee annual performance review	Official File	Non-record Material	Personal Paper
E. Quarterly activity report	Official File	Non-record Material	Personal Paper
F. Happy Birthday e-mail from a friend	Official File	Non-record Material	Personal Paper
G. E-mail requesting information on a program	Official File	Non-record Material	Personal Paper

2. Who appoints RLO and C&R Supervisors?
- a. Bureau/Independent Office and Mission management.
 - b. Records Liaison Officer (RLO) and Communications and Records (C&R) Supervisors.
 - c. File Custodians.
 - d. Professional staff (e.g., Project, Program, Executive Officer).
 - e. All staff
3. Which of the following describes ADS Chapter 502, The USAID Records Management Program? Circle all that apply.
- a. Online reference.
 - b. Mandatory guidance for USAID records management.
 - c. Strict file structure that must be followed by all units in USAID.
 - d. All-in-one source for USAID records management policy directives and required procedures.
4. Who is your M/AS/IRD Client Analyst?
- a. The M/AS/IRD Client Analyst for Asia.
 - b. The M/AS/IRD Client Analyst for Africa.
 - c. The M/AS/IRD Client Analyst for Europe and Eurasia.
 - d. The M/AS/IRD Client Analyst for the Middle East.
 - e. The M/AS/IRD Client Analyst for Latin America and the Caribbean.
 - f. The M/AS/IRD Client Analyst for Washington Bureaus/Independent Offices.

Organizing Official Files

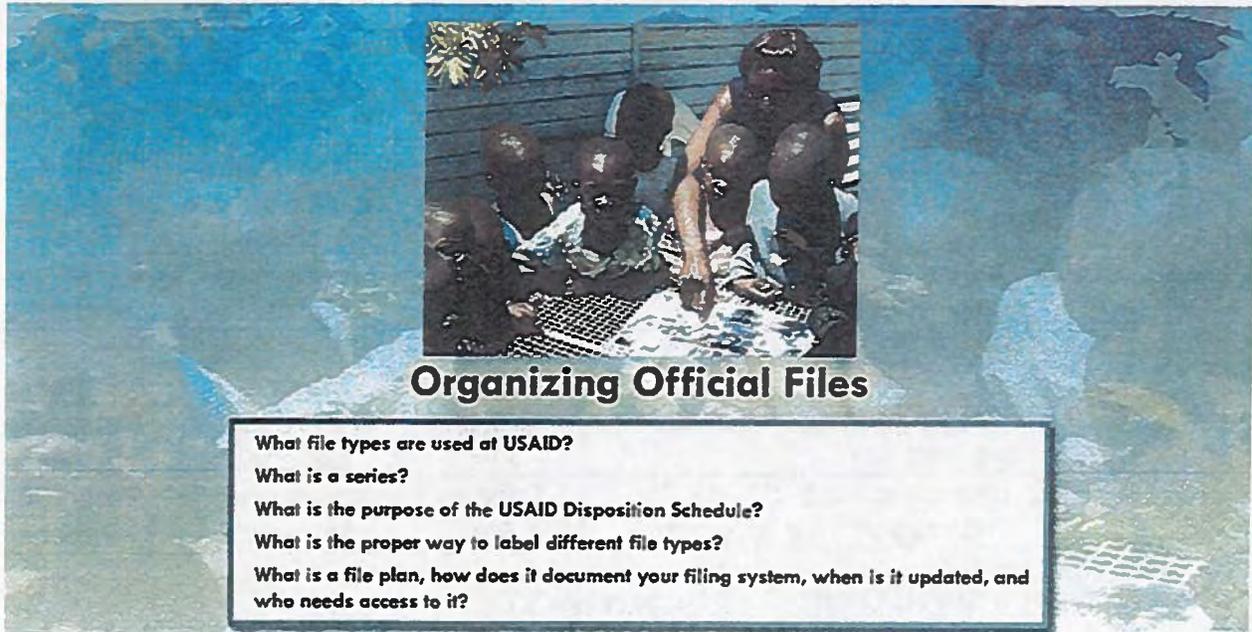


Figure 5

This chapter explores the importance of having a **filing system**. It begins by discussing some basic file concepts, such as the different types of files used at USAID, what a file **series** is, and the purpose of the **USAID Records Disposition Schedule**. It stresses the importance of proper file labeling and provides practical labeling examples. Finally, it answers questions about what a file plan is, what it does, and who uses it. It also describes how a file plan documents the system, how the files are grouped, where the files are located, how long they are kept, and how they are disposed.

Zits Comic



Figure 6

Consider Jeremy's filing system in the comic above. Jeremy's filing system may work for him, but it wouldn't work at USAID where each Bureau/Independent Office and

Mission (B/IO and M) creates records that must be controlled. A well-designed filing system ensures that there is a definite place in the files for each record, that similar records are filed together, that records are properly labeled for easy retrieval, and that **file categories** are physically arranged in a logical order. When records are no longer required for day-to-day operations, there must be an orderly process by which they are properly retired to storage or destroyed.

Purpose of a Filing System

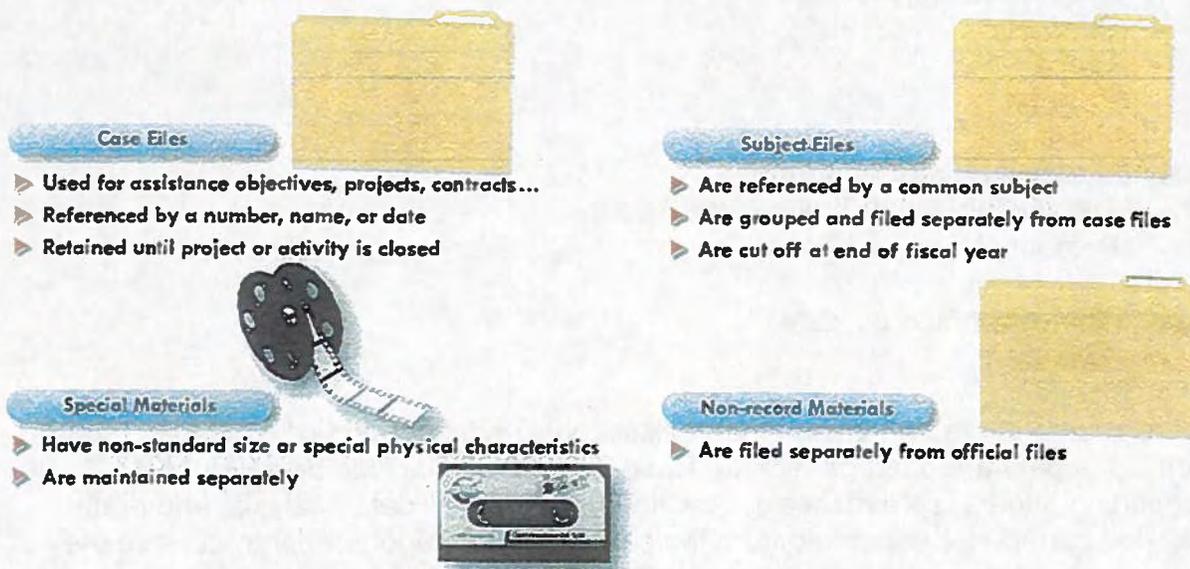


Figure 7

Before we look at what elements are included in file folders, we need to look at some basic filing concepts, such as the various types of files and how these files are grouped into series (a group of related records).

There are four general **file types** at USAID: case files, subject files, special materials, and non-record materials.

1. Case Files

Case files include files for Assistance Objectives (AO), projects, and contracts. Eighty-five percent of all files at USAID are case files. These files are referenced by a number, a name, or a date. Case files generally have a beginning date, end date, and are retained until the project or activity is closed.

Case File contents include:

- Activity planning and development documents
- Acquisition and Assistance documentation
- Core documents

- Correspondence
- Disbursing authorization
- Leases
- Loans
- Purchase orders
- Reports
- Vouchers

Case Files organized by number:

- Activities
- Assistance Objectives
- Contracts
- Loans
- Projects

Case Files organized by name:

- Activity, project, or training participant
- Personnel

Case Files organized by date:

- Events

In the course of preparing case materials, such as a final report or a contract, many working papers are often generated. Case file contents include background or supporting papers, spreadsheets, questionnaires, notes, data analysis, and drafts. Working papers are separated from the corresponding report or contract since they have a shorter period of use and are destroyed earlier.

2. Subject Files

Subject files group together correspondence, memoranda, telegrams, reports, and other materials with a common subject. They are grouped and filed separately from case files.

Subject files have no particular beginning or end date, so they are grouped by fiscal year. At the end of the fiscal year, the subject file is closed, and a new file for that subject is opened.

Types of Subject Files:

- *Administrative subject* files relate to managerial operations, budget, staffing, and other administrative activities.
- *Program subject* files relate to Agency program activities.
 - Files related to program background, support, planning, and development.
 - Files related to program operation.

USAID has created an official list of Agency subjects, **Subject Outlines/Codes**, located in ADS Chapter 502. All offices must use the Subject Codes Outlines to ensure compliance with USAID Records Management policy. Lastly, a three-letter code (ex. Budget - BUD) is added for ease of reference, filing purposes, and more precise identification of subject content to the file folder.

3. Special Materials

Special materials include items such as charts, maps, journals, audio/visual or other materials that pertain to agency business. Because of their nonstandard sizes and physical characteristics, they are maintained separately from paper records.

4. Non Record materials

Non-record materials are materials excluded from the legal definition of records or not meeting the requirements of that definition. This may include extra copies of documents kept for convenience of reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibition. Non record materials are always filed separately from official files.

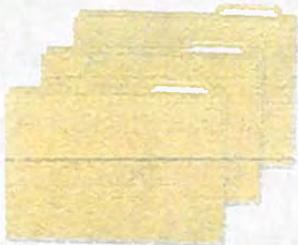
What is a Series?

A series:

- ▶ Is a group of related records
- ▶ Is held for the same period of time
- ▶ Is handled in the same manner when moved
- ▶ Has a unique number

**USAID/Washington and Mission Disposition Schedules.
A Mandatory Reference for ADS Chapter 502.**

- ▶ Lists all the series by functional/organizational area
- ▶ Describes each series
- ▶ Assigns an item number to each
- ▶ Details the specific retention and disposition



Item No.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
01350	Research Studies Files - a. Final reports of studies not described elsewhere in this schedule.	Permanent. Retire to WNRC. Transfer to NARA in 5 yr blocks when most recent report is 10 yrs. old
01360	b. Back-up material which includes copies of progress reports and correspondence	Temporary. Cut off after file report is submitted. Destroy 3 yrs. After cut off.

Figure 8

In records management, a group of related records is called a series. Each series has a unique identifying number. Within each file type, related records tend to fall together naturally based on one or more common characteristics. All records in a series are held for the same period of time and handled in the same manner when removed.

The USAID/Records Disposition Schedules is a mandatory reference for ADS Chapter 502 that lists all series by functional and organizational area, describes each series, assigns each series a unique item number, and provides guidance on how long to hold the records and how to dispose of them. For example, final reports and back-up material are each assigned a series item number. Final reports are **permanent records** that will be preserved and archived, while back-up materials are **temporary** and will be destroyed after a specified period of time.

Take special care in handling permanent record series material.

The USAID/Washington and Mission Disposition Schedules

USAID Washington and Mission Disposition Schedules

- ▶ Online reference
- ▶ Has 40 chapters that list Series, descriptions, and disposition
- ▶ Is a living document

If you have a series not in the schedule:

- ▶ Contact your client analyst
- ▶ Preserve the records until they are scheduled

USAID/Washington Records	
Chapter	Title
1	Records Common to Most Offices
2	Records of the Administrator and Assistance Administrator
3	Freedom of Information and Privacy Act Records

USAID/Mission Records	
Chapter	Title
25	General Records
26	Project Assistance Records
28	Food For Peace Records

Do not destroy records that are not in the schedule.

Figure 9

Take a closer look at the **Disposition Schedules** because they are integral to proper records management. It is an online reference tool found on USAID’s ADS Web site. Here you will find a list of approximately 40 chapters that list the series descriptions, item numbers, and authorized disposition for both Washington and Mission records.

For example, Chapter 1 lists series for records common to most Washington offices and Chapter 28 lists the Missions’ Food for Peace series. This Disposition Schedule is a living document and is updated continually to accurately reflect the record series found throughout USAID. If your office holds a series that is not listed on the Disposition Schedule, or if you have any difficulty applying the schedule to your records, contact **USAID’s Information and Records Division** to speak with your **M/AS/IRD Client Analyst**. Meanwhile, if your records are not in the Disposition Schedule, you must retain and preserve them until you are given proper disposition instructions from your M/AS/IRD Client Analyst.

The Filing Cabinet

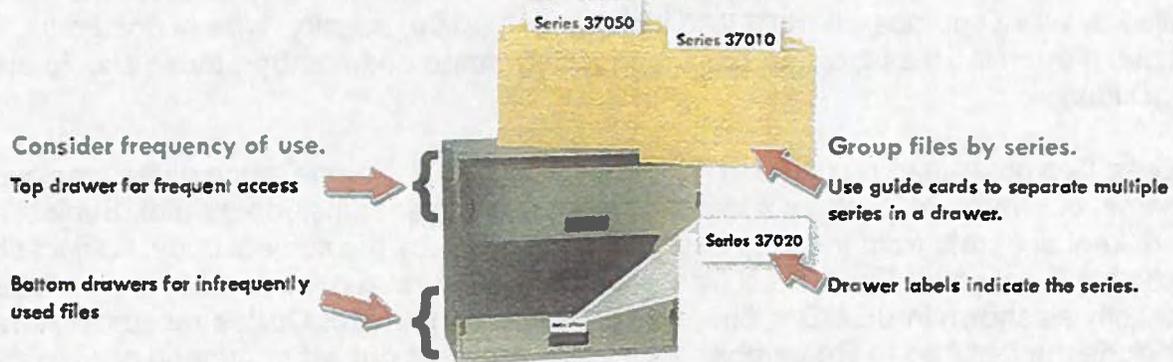


Figure 10

Grouping your files by series is essential for file management and eventual **disposition**. Drawer labels should indicate the series of files inside the drawer. If there are more than one series inside a drawer, use **guide cards** to separate them when selecting series locations and consider the frequency of use. If files are accessed daily, locate them in upper file drawers and store infrequently used files in lower drawers.

Labeling Official File Folders

Assistance Objective and project/activity case file labels include:

- ▶ Project/AO #
- ▶ Title
- ▶ Country/Region name
- ▶ Document type
- ▶ Date



Other Case File labels include:

- ▶ Name of person/Loan number
- ▶ Date



Subject file labels include:

- ▶ Subject code
- ▶ Subject file title
- ▶ Expanded heading (if needed)
- ▶ FY

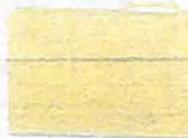


Figure 11

Complete and consistent labeling of file folders is crucial. File folder labels for both Assistance Objective (AO) case files and project or activity case files identify five basic elements:

- The AO or project or activity number
- The project or activity title
- The country where the AO, project, or activity takes place
- The type of **document**
- The date of the document

Project case files are filed by project or activity number. The file folder label also includes the project title, country or region, type of document, and date. An AO file is filed by an AO number. It must also include an AO title, country, type of document, and date. If there is an associated project or activity name and number, those should also be included.

Case files other than project and AO files will identify the name, such as an employee name, or a number, such as a loan number. Remember to include a date. Subject files are kept separate from the project files and identified by the subject code, subject title, and the fiscal year. For subject files, include the file group code and title on the label, exactly as shown in USAID's **Subject Outlines and Subject Codes** resource. Always include the fiscal year. Remember that subject files are **cut off** at the end of each fiscal year. When the new fiscal year starts, you must create a new file folder label indicating the change of date.

The File Plan

File plan:

- ▶ Lists records by series
- ▶ Identifies location
- ▶ Describes how long to hold records
- ▶ Is prepared by file custodian
- ▶ Is documented using AID Form 520-2
- ▶ Should be accessible to all
- ▶ Is submitted annually



File Custodian



RLO/C&R Supervisor

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT (USAID)
RECORDS INVENTORY AND DISPOSITION PLAN
INSTRUCTIONS ON RELEASE

1. ORGANIZATIONAL UNIT NAME		2. FOR RECORDS MAINTAINED FROM		TO	
3. FILE PLAN (Check one) New <input type="checkbox"/> Revised <input type="checkbox"/>		4. DATE PREPARED		5. PREPARED BY (File Custodian) & PHONE NUMBER	
7. RECORDS MANAGEMENT (SEE CHAPTER 802)				8. CL. AND FILE	9. VOLUMES (Check Series Cabinet Feet)
A ITEM NO & LOCATION (FILE CABINET/DRAWER)	B TITLE OR DESCRIPTION	C DISPOSAL INSTRUCTIONS	D YES OR NO	E PAPERS, MICROFILM, OR OTHER MEDIA TO BE TRANSFERRED TO FEDERAL STORAGE	F DESTROYED
Cabinet 1 Drawer 2 37020	PERSONNEL FILES	Temporary. Destroy 6 years 3 months after termination of contract			
Cabinet 4 Drawer 3 25020	SUBJECT FILES PER 1 Attendance and leave "flextime" PER 2 Incentive awards "Awards 2007-2008"	Temporary. Cut off files annually. Destroy when 2 years old, or sooner if purpose has been served			

Figure 12

Each B/IO and M must have a **file plan** that lists the official records by series, identifies the file location, and describes how long to hold each series. The RLO, C&R, or file custodian prepares the plan as appropriate, but all B/IO and M personnel and contractors should be familiar with the file contents. Use **AID Form 520-2, Records Inventory and Disposition Plan** to create the file plan (shown in Figure 12). The first three columns list and describe the records. Column A lists the USAID Disposition Schedule series item number. Column A also indicates the location of the records by file cabinet and drawer. Column B lists the title and description of the series. Column C lists disposal instructions.

The AID Form 520-2, Records Inventory and Disposition Plan can provides instructions for disposal of the series which are outlined in the Disposition Schedules. Since the AID Form 520-2 is a useful office aid, a good tip is to maintain a copy near the **file station** so everyone understands the location of the official records. Alternatively, copies of the AID Form 520-2 be provided to staff or may be accessed online. As files are added or removed, the plan will require updating. At each fiscal year end, the RLO or C&R Supervisor will coordinate the file plan submissions for the various B/IOs and Ms they serve. Please refer to the Resources section of this guide for a sample of AID Form 520-2, Records Inventory and Disposition Plan.

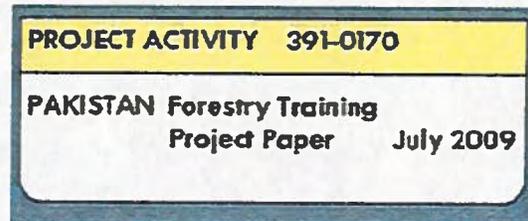
CHAPTER 2 TEST

1. In records management, what is a series? Select the best response.
 - a. A group of related records that are assigned a three-letter code for the purpose of filing by subject.
 - b. A group of records that are arranged in chronological or alphabetical order.
 - c. A group of related records, held for the same period of time that has a unique number.

2. Which statements about the USAID Records Disposition Schedule are true and which are false?

a. The Disposition Schedule assigns 3 letter subject code to each series.	True	False
b. The Disposition Schedule identifies how long to hold official records.	True	False
c. The Disposition Schedule lists all the series by functional/organization area and describes each series.	True	False

3. What kind of file goes in this folder?
 - a. Subject file
 - b. Case file
 - c. Non-records materials
 - d. Personal papers



4. What is included in a file plan? Select all that apply.
 - a. The item number for each series of records in the office.
 - b. A description of the official files in the office.
 - c. The official list of codes for all subject files.
 - d. The disposition instructions for all records in the office.
 - e. The physical location (e.g., cabinet and file drawer) of the office's official records.

File Maintenance and Disposition

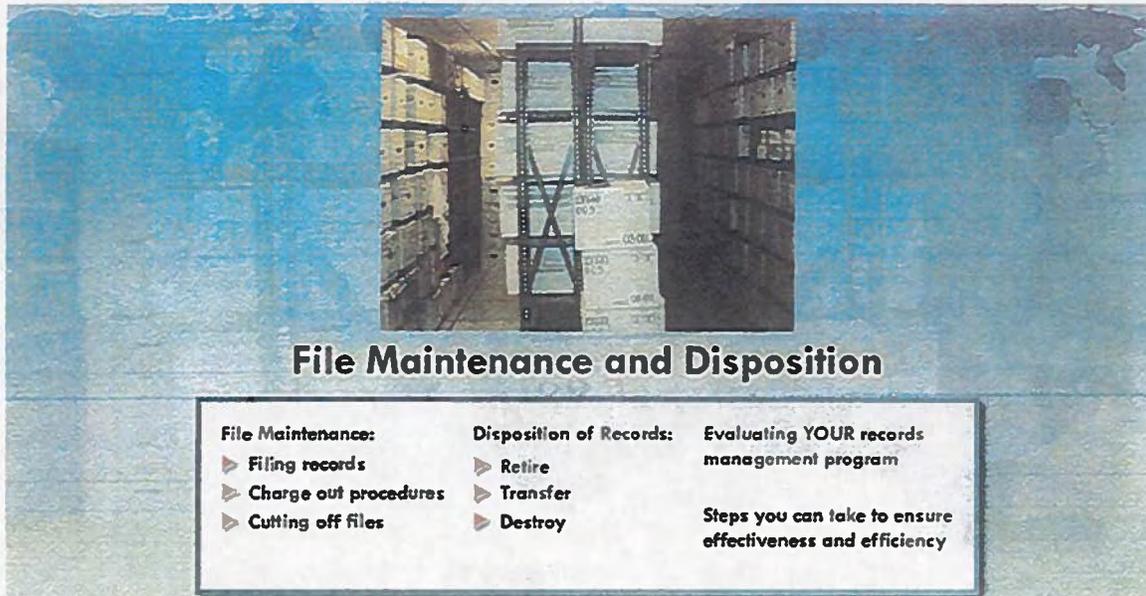


Figure 13

USAID files that contain record materials are dynamic, meaning they change over time according to the records management lifecycle. Every day, new record materials are added to active existing **official files** and older records meeting their disposition schedules are removed according to the appropriate guidelines. To make certain Bureaus/Independent Offices and Missions (B/IOs and Ms) properly maintain their record materials, a set of procedures for maintaining these items must be followed.

This chapter will assist you in providing answers to the following questions:

- How are new **materials** added and filed?
- Who monitors the removal of files for use?
- How is the location of the removed files tracked?

Overview of Maintenance

Office needs procedures for:

- ▶ Filing records
- ▶ Charging out records
- ▶ Cutting off files



Figure 14

Filing Records

Does it need to be filed?

Official file or reference only?

Is it ready to be filed?

Need to be circulated?

Is it complete?

Where should it be filed?

Category is determined by program and project staff

Use good filing methods



**Avoid accumulating
unnecessary
materials**

Figure 15

Filing new materials on a daily basis will assist in effective USAID business processes. If proper record management procedures are not followed, files will become cluttered with unnecessary materials, so verify that you distinguish between official files maintained by your B/IO or M and the materials used temporarily for reference. To avoid accumulating unneeded materials, and reduce unnecessary document creation, duplication, and transmission, ask yourself:

- If it is a **record** that should be filed, is it ready to be filed?
- Does the record need to be circulated first?
- If the record was circulated, are the **routing slips** removed?
- Does the record have all pages and attachments?

After answering these questions, determine where the record should be filed. Project and program staff determine the filing locations as record material is created or received. When you place materials in the file, be sure to follow proper filing methods. If files become overloaded, you need to make appropriate adjustments to efficiently organize the material.

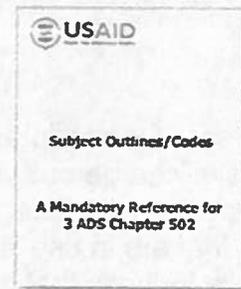
Adding a New File Category or Subject File Code

Adding a new file category:

- ▶ Discuss the need with office staff
- ▶ Submit description to Information and Records Division (IRD)
- ▶ Put it on the file plan

Adding a new subject file code:

- ▶ Discuss the need with Records Management
- ▶ The Subject Outlines/Codes may need to be amended



**USAID/Washington and Missions Disposition Schedules.
A Mandatory Reference for ADS Chapter 502**

Chapter	Title
1	Records Common to Most Offices
2	Records of the Administrator and Assistance Administrator
3	Freedom of Information and Privacy Act Records
4	Food for Peace and Voluntary Assistance Records
5	Geographic Bureaus General Records
6	Legislative and Legal Affairs Records

Figure 16

Over time, office functions may change and new types of records will need to be filed. When this occurs, discuss the need to add a new **file category** with the appropriate staff members. If the category is not in the **USAID/Washington and Missions Disposition Schedules**, submit a description of the new category and its proposed disposition retention schedule to your **M/AS/IRD Client Analyst**. Once you receive approval from M/AS/IRD, be sure to note the additional category on the office **file plan**. Similarly, if a new subject file code is needed for a subject that does not appear in the **Subject Outlines/Codes** reference, inform your M/AS/IRD Client Analyst. For more helpful hints, refer to the Resources section of this guide.

Charge Out

Each office determines:

- ▶ Which charge-out card to use (e.g., Optional Form 23)
- ▶ Who is responsible for charge out and re-filing

OUT

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

OPTIONAL FORM 23
FEB 1962
GSA Circular No. 230

CHARGE OUT RECORD
5023-101

NSN: 7540-00-423-6130



Figure 17

The set of procedures for checking out and removing file material according is referred to as a “charge out”. Every B/IO and M requires procedures for reviewing files for disposition and determining when the files are cut off and closed. Understanding the files that are in use is an important component of proper file organization. The simplest way to indicate that a file is in use is to insert the **Optional Form 23 charge-out card** (example shown in Figure 17) in place of the materials removed from the file. The word “OUT” at the top of the card must be visible above the top of the other folders in the drawer. If an entire folder is charged out, an unlabeled folder is inserted in its place to hold the charge-out card. A space on the card indicates which record was removed, the name of the person using the record, and the date of removal. Each office must determine who is responsible for charge out and refilling the materials. You may also refer to the Resource section of this guide for a sample of the Optional Form 23.

Cutting off Files

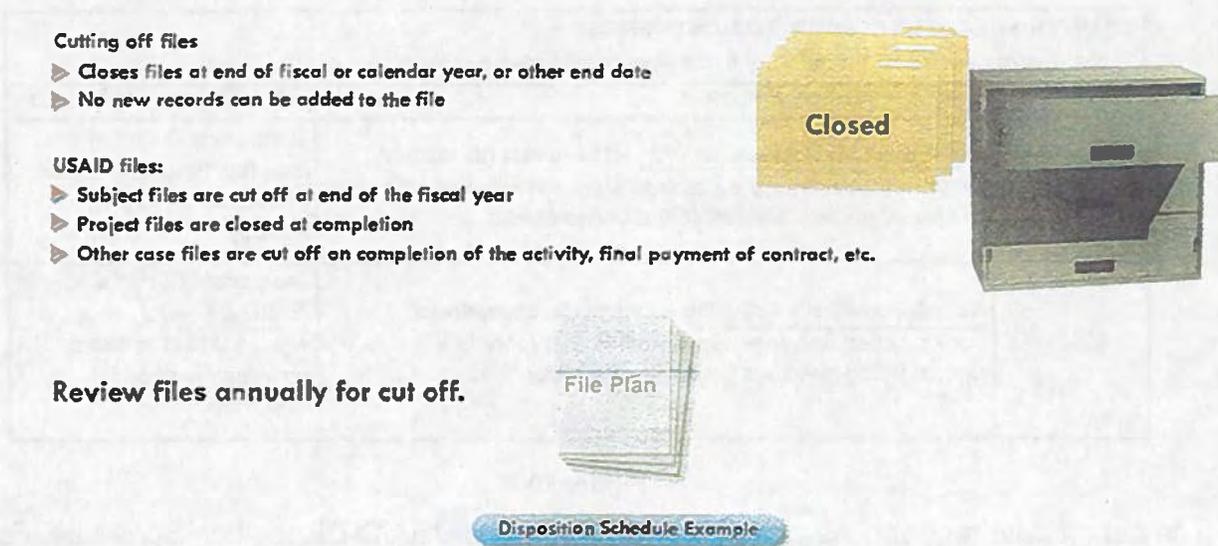


Figure 18

To help keep files from accumulating and overrunning your work place, it is important to “cut them off” at regular intervals. **Cut off** is a system for closing record material at the end of a calendar year, fiscal year, or other logical chronological point. Cut off is the date beyond which no new records can be added to a particular file.

Subject files are generally not date-sensitive. To control file size, review and cut off subject files at the end of the fiscal year. Immediately after the cut off date, create a new subject file to continue the record **series** for the next year. USAID project files are closed when the project completion date has been reached, or a project evaluation panel concludes that the project should not be continued.

Other **case files** are cut off upon completion of the activity or the end of the event. For example, a contract file is cut off upon final payment from USAID to the contractor. At a minimum, it is important to review files annually for cut off action.

Disposition Schedule Example

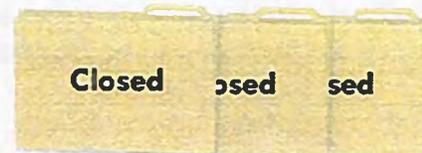
CHAPTER 1 RECORDS COMMON TO MOST OFFICES – These records are cutoff annually, by fiscal year, unless stated otherwise.		
ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
01310	Non-Project Assistance Records – These records include grants and loans for program assistance in selected countries of special political interest to the United States....	Temporary. Cut off after loan has been fully repaid (maximum of 40 yrs.) Destroy 1 yr. after cut off.
01320	Schedules of Daily Activities – Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls...	Temporary. Cut off at end of calendar year. Destroy when 1 yr. old or sooner if no longer needed for reference.

Figure 19

The cut off date for each file category is shown in the USAID Disposition Schedule. For example, Chapter 1 records are cut off annually by fiscal year, unless stated otherwise. Files that are not cut off annually by the fiscal year end may have other cut off dates. For example, records for non-project assistance loans are cut off after the loan has been fully repaid, and schedules of daily activities are cut off at the end of the calendar year.

Disposition Methods

Chapter	Title
1	Records Common to Most Offices
2	Records of the Administrator and Assistance Administrator
3	Freedom of Information and Privacy Act Records
4	Food for Peace and Voluntary Assistance Records
5	Geographic Bureaus General Records
6	Legislative and Legal Affairs Records



Temporary records – eventually destroyed

Permanent records – retained for archival purposes



Figure 20

Each record series has a Disposition Schedule. This refers to the destruction, retirement, or transfer of records.

- **Destruction** is the authorized physical destruction of the record material or the removal of information content.
- **Retirement** is the process of sending records for storage, service, and ultimately the record's destruction or retention.
- **Transfer** involves a change of custody from one organization or agency to another organization or agency.

Eventually, **Temporary records** will be destroyed and **Permanent records** will be retained for archival purposes. Each series' Disposition Schedule provides instruction for proper record disposition based on type and prior use.

Destruction of Records

Destruction of records must be authorized and carried out at a time designated by the Disposition Schedule. If the records are to be destroyed in three years or less, maintain the files in the office for the prescribed time period (if you have a shortage of storage space, contact your M/AS/IRD Client Analyst to determine if there is an alternate storage site). The **file custodian** is the person responsible for the records and must keep a record of the material's destruction. Note the file plan indicates where to record the cubic feet volume of agency material that is destroyed (**AID 520-2, Records Inventory and Disposition Plan**).

Remember: Never destroy official records without an approved disposition authority.

Retirement of Records

Retirement is the process of sending records either to the Washington National Records Center (WNRC) or the National Archives and Records Administration (NARA) for storage, servicing, and destruction or retention. Your office will prepare the records for retirement and send them to M/AS/IRD. Depending on the type of records (temporary or permanent), M/AS/IRD will process them, destroy them at the appointed time, or transfer them to the Washington National Records Center (WNRC) or National Archives and Records Administration (NARA) for archival storage. Refer to the Disposition Schedule to ascertain how long records must be held by USAID before they can be retired.

Permanent records must be held in the office for two years before they can be retired to WNRC. These permanent records will be sent to NARA for archiving when the records are ten years old. In addition, temporary records must be held in the office for two years before they may be retired to WNRC. However, note that temporary records will not be destroyed until ten years after cut off. For permanent and temporary records that must be kept for more than three years, hold them in the office for the time period prescribed by the Disposition Schedule.

Transfer of Records

Transfer involves a change of records custody from one organization or agency to another. Records may be transferred to another office as a result of reorganization or change in office functions. Transfer of retired records from your B/IO or M to M/AS/IRD

is also considered a transfer of records. Other Federal agencies may request USAID records in support of their own programs. Prior to transferring these records, you must obtain the approval from your M/AS/IRD Client Analyst.

Preparing Files for Retirement

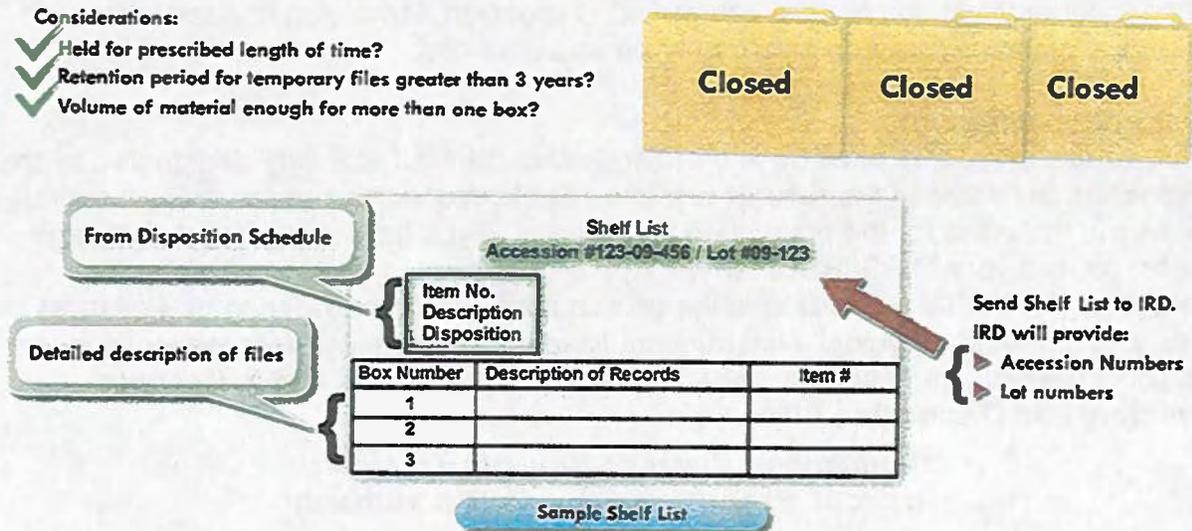


Figure 21

Preparing a Shelf List to Retire Records

When you have files that are eligible to be retired, consider the following:

- Have the files been held in your office for the prescribed length of time according to the Disposition Schedule?
- If they are temporary files, will they be retained for longer than three years? If not, do not send them to M/AS/IRD. Your office is responsible for maintaining and destroying them.
- Do you have enough materials to retire? M/AS/IRD recommends that you wait until there is enough material for two or more boxes.

Once these considerations are met, you must now prepare a **shelf list**. The shelf list provides a detailed list of records ready for retirement. It includes the item number, description, and will be cross-referenced by numbers to the disposition schedule instructions. Make sure you precisely follow the Disposition Schedule instructions. For each prepared box, a detailed description of the record material must be included and placed in the box. You may find it helpful to place the folders in the box as you generate the list.

When you have completed the shelf list, e-mail it to the **M/AS/IRD staff**. M/AS/IRD will then e-mail you the **Accession Numbers** and Lot Numbers for these records. These numbers must then be included in the shelf list and added to the box labels.

Boxing Up Files

Special Attention

- ▶ Pack classified and unclassified records in separate boxes.
- ▶ Do not mix permanent and temporary records.
- ▶ Pack records with same retention period in the same box. Use standard storage and shipping boxes.

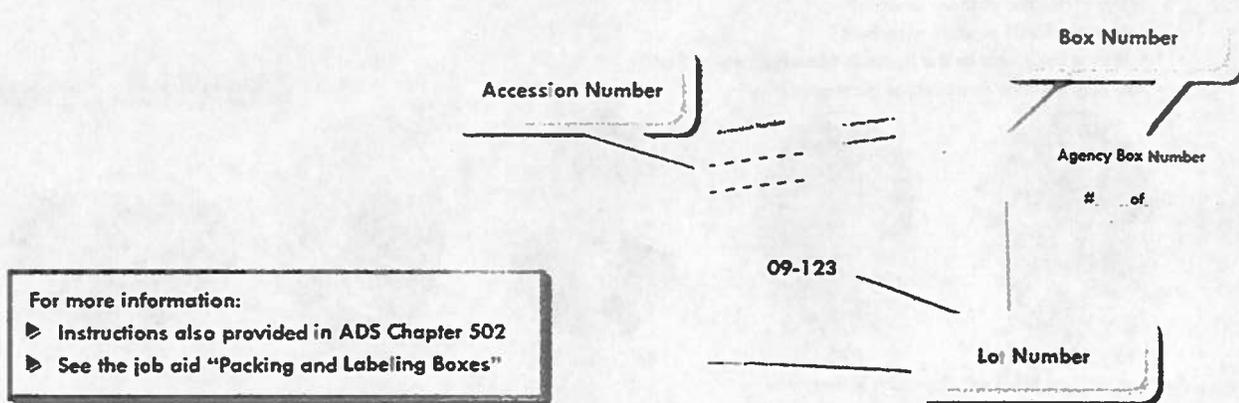


Figure 22

Once your shelf list is prepared with M/AS/IRD's Accession Numbers and Lot Numbers, you may proceed in boxing your files.

When packing:

- Use the **Records Retirement Boxes** (GSA# 8115-00-117-8249) or equivalent measuring approximately 15" x 12" x 10". These will hold about one cubic foot of material.
- Use one of the following conversion factors to estimate the number of boxes:
 - Usually about 15 inches of letter-size material fit in one box. Records in one letter-size file cabinet drawer usually fit into two boxes.
 - Twelve inches of legal-size material fit in one box. Records in one legal-size file cabinet drawer usually fit in two and one-half boxes.
- Pack classified and unclassified records in separate boxes.
- Do not mix permanent and temporary records within the same box.
- Pack records with the same retention time period in the same box.
- Label the boxes on the front end with the Lot Number, Box Number, and Accession Number. Please refer to the Resources section, **Preparing Eligible Records for Retirement**, for information on packing and labeling boxes.
- Also see **USAID ADS Chapter 502** for detailed packing instructions.

Is Your Records Management Program Working?

- ▶ Survey the office staff
 - Do they understand organization of files?
 - Can they find files easily?
- ▶ Are new staff members oriented to files and records management concepts and responsibilities?
- ▶ Do file custodians know their designated client analyst?
- ▶ Is the office file plan up to date?
 - Is it available to staff members?
 - Was a copy sent to the Records Management office?
- ▶ Are eligible files removed at least annually?



Figure 23

What is the status of your office's records management program? Is everyone involved? Do all staff understand how files are organized so that they are easily able to find them? Each office should assess its records management program on a regular basis to ensure that it is working smoothly, and if not, implement corrective measures.

- ✓ As new personnel and contractors are added, each office requires a process for orienting them to the office files and records management responsibilities.
- ✓ The file custodian must know his or her M/AS/IRD Client Analyst and establish a strong working rapport.
- ✓ The file plan must be updated as required, made accessible to personnel, and submitted annually to M/AS/IRD.
- ✓ On an annual basis, eligible files must be removed per the records management guidelines.
- ✓ A list of measures each office adopts should be included in a calendar of records related activities.
- ✓ Please refer to the Resources section for a sample of the **Calendar Checklist of Records Management Responsibilities**.

CHAPTER 3 TEST

1. Which of the following describes the proper procedure to follow when temporarily removing records from the official file system?
- Inform the file custodian via e-mail which records you have removed, how you intend to use them, and when you intend to return them.
 - Use a charge out card that indicates the name of the person removing the record, the date the record was removed, and a description of the record.
 - Put a yellow Post-it® note on the file drawer from which a record was removed with the name of the person who removed it and the date it was removed.

2. Which statements about the records management term “cut off” are true and which are false?

a. The purpose of cut off is to keep files from accumulating.	True	False
b. Cut off is the date beyond which no new records can be added to the file.	True	False
c. All files at USAID are cut off at the end of the fiscal year.	True	False
d. The USAID Disposition Schedule specifies when files are cut off.	True	False

3. You have some records that are closed and you are no longer using them. You are unsure of their category, but you think they are temporary. What should you do? Select the best response.
- Since the records are temporary, maintain them in the office for three years, and then destroy them.
 - Since you are no longer using the records, and they are closed, contact your M/AS/IRD Client Analyst and ask for permission to transfer them to M/AS/IRD for retirement.
 - Since you do not have a disposition authority, maintain the records in your office until you get obtain one. Contact M/AS/IRD for assistance.
 - Since the records are closed and temporary, you can destroy them when they are no longer needed.
4. It is the end of the fiscal year, and you have just cut off some correspondence files. The disposition instructions for these records are: *“Temporary. Hold in office for two years and then retire to WNRC. Destroy 10 years after cut off.”* What should you do?
- Hold them in the office or off-site storage and destroy them after 10 years.
 - Hold them in the office for two years, then prepare them for retirement and send them to M/AS/IRD, which will retire them to WNRC.
 - Hold them in the office for two years, and then transfer them to WNRC.
 - Hold them in the office for two years, and then destroy them.

CHAPTER 3 TEST

5. You have records that are eligible to be retired. For each of the following situations, indicate if the procedure for handling the records is acceptable or not.

	Acceptable?	
	Yes	No
a. You have just a few records and do not anticipate that you will have any more eligible to retire for another year. You put the records in a padded envelope along with a detailed list of the contents, and mail the records to M/AS/IRD.		
b. You have some temporary records and some permanent records that fit nicely into one box. You clearly indicate on the front of the box the disposition for each set of records.		
c. You prepare a shelf list and send it to M/AS/IRD. Upon receiving the accession numbers and lot numbers, you include them on your shelf list, and also use them to mark the front of the boxes.		

6. How often should your office perform the following activities?

a. Submit the office file plan, form AID 502-2, to M/AS/IRD.	Daily	Monthly	Annually
b. Check that borrowed files have been returned or are still active.	Daily	Monthly	Annually
c. Cut off subject files.	Daily	Monthly	Annually
d. Retire or destroy eligible files.	Daily	Monthly	Annually
e. Survey the office staff on their understanding of the filing system and the system's ease of use.	Daily	Monthly	Annually
f. File.	Daily	Monthly	Annually

Federal Electronic Records

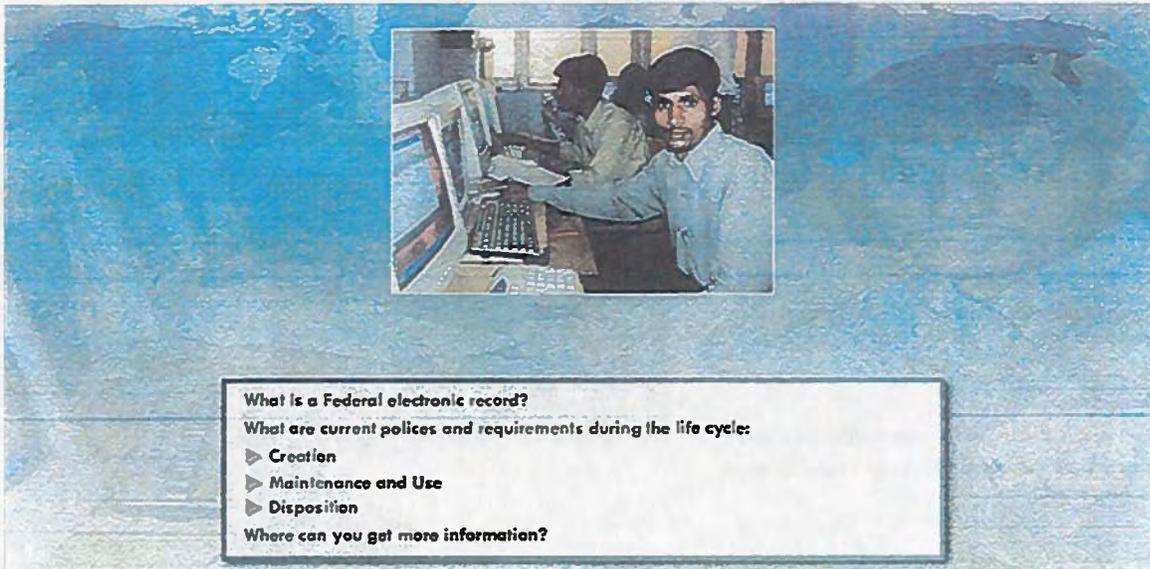


Figure 24

Today, the vast majority of Federal records are created digitally, meaning they are 'born' in an electronic format rather than in hardcopy or paper form. The manner of handling electronic records (e-records) is similar to paper records, and USAID personnel and contractors must understand how to properly maintain e-records to be in accordance with Federal law.

This chapter provides an overview of USAID e-record scope and requirements which applies to all e-records life cycles which includes:

- The creation and scheduling of information systems containing e-records
- The protection and integrity of e-record maintenance and use
- The verification of proper **disposition** of e-records

USAID M/AS/IRD is working to test and implement an e-records management software (ERMS) platform. Once an ERMS is incorporated within the USAID computing environment, it will greatly ease the record-keeping workload and ensure USAID records are in compliance with Federal record laws and regulations. At current, there is not a specific timeframe when an ERMS platform will be put into service. However, M/AS/IRD is in the process of developing an ERMS which will be implemented agency wide.

This chapter provides guidance for USAID personnel and contractors to assist them in understanding guidelines for proper e-records handling. This guide will be updated as required to incorporate policy changes once the ERMS program progresses and NARA e-guidelines change. For more in-depth e-record policy, refer to **USAID ADS Chapter 502.5.6**.

Definition of Federal Electronic Records

Federal Electronic Records

A Federal electronic record:

- ▶ Is created electronically
- ▶ Can be read by a computer
- ▶ Meets definition of Federal record

Electronic information systems:

- ▶ Include data base systems (e.g. electronic phone directory, motor vehicle inventory)

Electronic copies:

- ▶ Are created using office automation systems
- ▶ Remain on computer after recordkeeping copy is produced

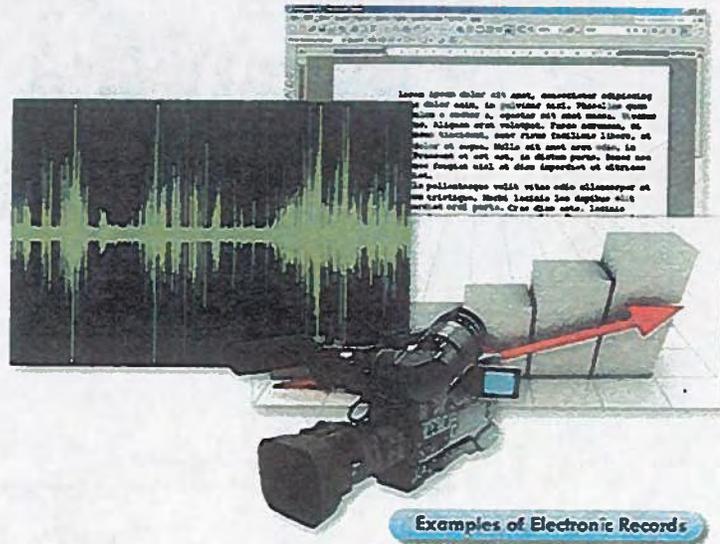


Figure 25

Federal e-records are defined as information recorded in a form that requires a computer or other machine to process it and that satisfies the legal definition of a record according to **44 U.S.C. 3301**.

The National Archives and Records Administration (NARA) requires all Federal agencies to maintain a records management program that captures both paper and electronic records. A Federal e-record must follow criteria as mandated by NARA:

- The record must have been created electronically
- The record can be “read” by a computer
- The record must meet the definition of a Federal record

As referenced above, an e-record is created or utilized in an electronic **medium** and serves as evidence of the agency’s business activities. Remember that any computer software generated medium, regardless of format, can be declared an e-record as long as it meets the Federal record criteria as listed above. This means e-records come in a vast array of forms, including but not limited to: Word documents, PowerPoint presentations, financial databases, human resource software, graphics, digital photo files, sound, and video recordings.

Why Are Electronic Records Important?

- ▶ There are more electronic records than paper
- ▶ The requirements of **NARA**
- ▶ The potential impact of **eDiscovery**

For more, see ADS Chapter 158, **Litigation Holds**



Creation



Maintenance



Disposition



Figure 26

E-records management is important due to the ever increasing amount of digitally created records material. A recent NARA study shows that ninety-eight percent of all information is created electronically. One can see the need for proper e-record creation, maintenance, and disposition of that material since it is essential for efficient USAID business processes as well to maintain agency history. In addition, proper e-record management processes allow USAID to be prepared for legal requests for records information.

E-records are frequently sought during the electronic discovery (e-Discovery) phase of a legal proceeding. During e-Discovery, an agency must provide information to comply with the law. As part of the e-Discovery process, an agency may receive a **Litigation Hold**, which is a legal order to save all information, paper and electronic, to ensure that data related to the legal action is not destroyed or altered. In such cases, proper records management practices are crucial for the prompt identification, location, and retrieval of the requested material so substantial fines and penalties may be prevented. For additional policy and procedural information on Litigation Holds, see **USAID ADS Chapter 158 Litigation Hold**.

Electronic Information Systems



New systems must be scheduled! (NARA requirement)

- ▶ Contact Records Management Client Analyst
- ▶ Complete and submit
 - USAID Form 502-1, Information Systems Inventory
 - SF 115, Request for Records Disposition Authority

Get on the list in the
Electronic Records
Disposition Schedule



Records Management
Client Analyst



RLO/
C&R Supervisor



Database System
Inventory System
Manpower and
Personnel System
Payroll System

Figure 27

USAID information systems that manage agency data are essential for efficient agency business processes. USAID encourages the development of these information systems to enhance and improve the Agency's mission. Since these systems may contain material deemed to be Federal records, they are obligated to meet NARA e-records management requirements. To assist M/AS/IRD in locating e-record material, a process known as System Scheduling is required to locate record material, describe the purpose and contents of the system, and apply appropriate disposition schedules for e-records housed within that system.

To perform a system schedule on an information system, the person responsible for the operation and maintenance, usually a system owner or administrator must notify M/AS/IRD that the system contains e-records. Properly scheduled e-records are essential since the agency must have an **inventory** of all e-record material. This ensures the system's e-records meet the disposition authority listed on the **USAID Electronic Records Disposition Schedule (GRS 20)**. If you have questions regarding a system, need to schedule a system, or want to inquire if a system has been scheduled, contact your **M/AS/IRD Client Analyst**.

The process for scheduling systems consists of the system owner/administrator completing two forms which provide detailed descriptions of technical aspects and describe how the e-records are utilized.

- The USAID **AID Form 502-1**, Information Systems Inventory:
 - The 502-1 describes the system: name, purpose, contact information, inputs, outputs, and system documentation.

- The NARA SF115, Request for Records Disposition Authority:
 - The SF115 provides guidance for NARA to apply a **disposition schedule** to the e-records housed within a system.
 - Much of the same information as entered on the AID Form 502-1 can be applied to the NARA SF115. However, this form goes into further detail to describe the e-record content rather than the system’s technical specifications.

- Once the AID Form 502-1 and NARA SF115 are complete, submit them to your M/AS/IRD Client Analyst. The Analyst may contact you for clarification and additional information on your system; once satisfied that the forms are accurate, they will contact NARA to proceed with scheduling the system.

- At USAID Washington, NARA will review the SF115 and schedule a meeting with M/AS/IRD and the system owner/administrator to conduct a review of the system’s e-records to apply an appropriate disposition schedule. If your system is at a Mission, contact your Client Analyst to determine the best option for conducting a NARA review.

Please remember, if you have any questions regarding systems disposition schedule requests, contact your USAID records management professionals such as your Records Liaison Officer (RLO), Communications and Records (C&R) Supervisor, or your M/AS/IRD Client Analyst.

Electronic Records Copies

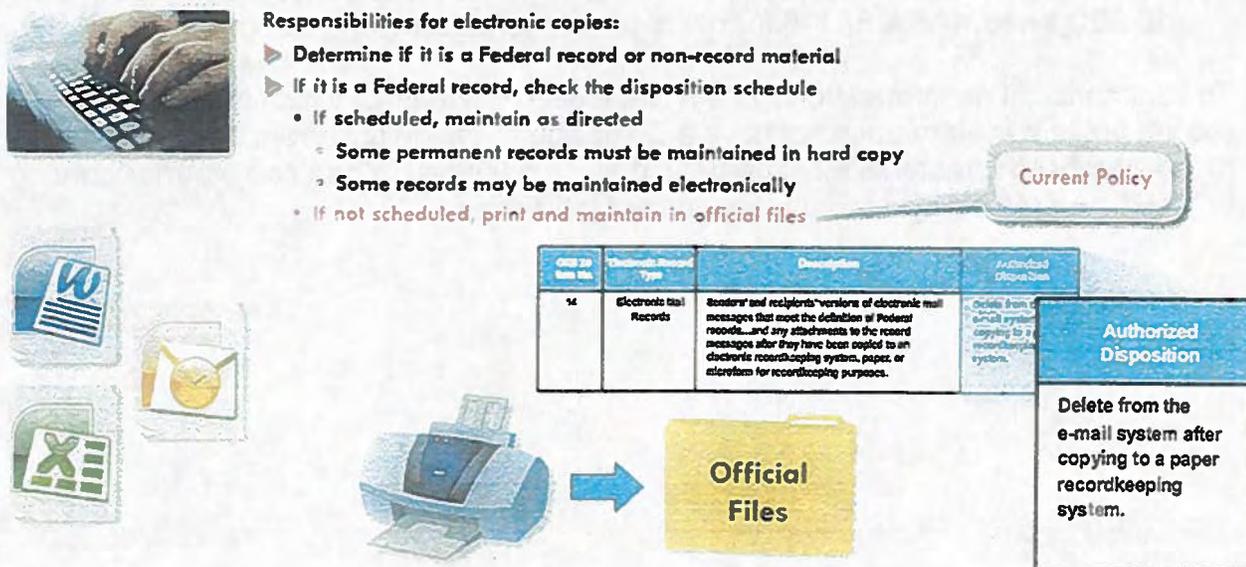


Figure 28

Not everyone is involved in the implementation of a new electronic information system, but everyone uses electronic data in the form of computer processed documents, spreadsheets, and e-mail. USAID policy requires all personnel and contractors to determine whether an electronic document is a Federal record or non-record material and adhere to the appropriate e-record disposition schedule.

To ensure you are in compliance with USAID and NARA records management policy, determine if the electronic version is a Federal record or non-record material. If the material qualifies as a Federal record, proceed with the following:

- ✓ Compare the record to the **USAID Electronic Records Disposition Schedule** (GRS 20) and if it is listed on the schedule, maintain as directed in the Authorized Disposition Column (note some records may be maintained electronically while other requiring printing to paper).
- ✓ If the record is not listed on the schedule, print the electronic version to paper.
 - The paper then becomes the **official record** and must be maintained according to NARA standards.
 - After printing, the electronic version becomes a copy and may not remain in the computer system, so it must be deleted. The USAID policy authorizing the electronic copy deletion:
 - **USAID ADS Chapter 502.5.6b** “When the official file copy of text documents are printed out and preserved on paper, an electronic text document (computer file copies) must be deleted from the word processor and other office automation applications.”
- ✓ If your system does not appear in the USAID Electronic Records Disposition Schedule, please contact your M/AS/IRD Client Analyst to assist in completing the AID 502-1 and NARA SF115 forms for proper scheduling and disposition.

To summarize, if an information system has electronic material which qualifies as a record, but that system does not have a Disposition Schedule, current NARA policy mandates that the material must be printed and maintained in hardcopy form according to NARA and M/AS/IRD record management guidelines.

Maintenance and Use



Protect the integrity of the data.

- Allow only authorized access
- Protect against threat of virus
- Use backup procedures

Ensure users know their responsibilities.

- How are electronic records defined
- How are electronic records maintained
 - Who is responsible for making paper copy
 - Who is responsible for moving the electronic copy to recordkeeping system
 - What is the directory system used by the office
- Who authorizes the deletion of electronic non-record materials and records of a temporary nature

Avoid premature destruction or alteration of electronic records!

Figure 29

Just as each Bureau/Independent Office and Mission (B/IO and M) must have a well-defined records **file system**, key staff members must be responsible for protecting the integrity of e-records. Having clearly defined staff roles in e-record management will assist in preventing the premature **destruction** or alteration of e-records.

USAID personnel and contractors must understand if the files they are handling are Federal records or **non-record materials**, and be familiar with office policy for the maintenance and use of Federal e-records.

The office should identify:

- Which non-record materials or **temporary records** should be deleted.
- Who is responsible for printing paper copies of Federal e-records?
- Who is responsible for physically moving electronic copies to a recordkeeping system?

A computer system's security program must allow only authorized personnel access to e-records. In addition, system security procedures must be implemented to protect against viruses, and regular backup and recovery procedures are essential to prevent data loss.

Electronic Records Disposition Schedule

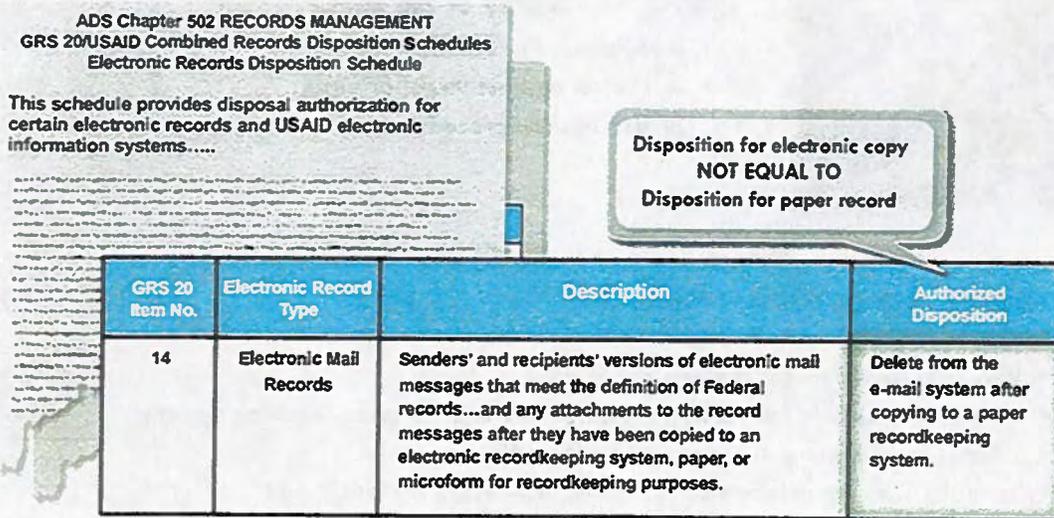


Figure 30

As with paper records, when e-records are no longer required for current Agency business, they must be **destroyed** or **retired** for eventual retention or destruction as based on the **USAID Electronic Records Disposition Schedule (GRS 20)**. This lists the e-record types, provides a description, and outlines the authorized e-record disposition. Always consult the e-record Disposition Schedule since the instructions may differ from those for disposition schedules maintained in paper form.

The example illustrated in Figure 30 shows there are senders' and recipients' versions of e-mail messages that constitute Federal records and were copied to a paper format for recordkeeping purposes. Notice that the e-record Disposition Schedule requires the deletion of the electronic copy from the e-mail system after it has been printed. Refer to Chapter 3 'File Maintenance and Disposition' for more information on maintaining and handling records.

Electronic Records Disposition Schedule - continued

ADS Chapter 502 RECORDS MANAGEMENT
 GRS 20/USAID Combined Records Disposition Schedules
 Electronic Records Disposition Schedule

This schedule provides disposal authorization for certain electronic records and USAID electronic information systems.....

**Never destroy records
 without authorized
 disposition!**

GRS 20 Item No.	USAID Electronic Information System	Description	Authorized Disposition
27	AQID Health Information System	This System holds data identified for all USAID health projects since 1975, including region, title, project number, beginning and end funding obligations by years, identification of implementing U.S. and/or host country agent, a variety of activity and purpose codes, evaluation information, and identification of other donor organizations....	Permanent. Transfer a copy of the system with related documentation to NARA in 1988. Transfer updates every five years thereafter.
			Unscheduled
			NARA approval pending

Figure 31

Disposition for Electronic Information Systems

The USAID Electronic Records Disposition Schedule (GRS 20) provides authorized disposition for USAID electronic information systems. The example in Figure 31 shows that the "AQID Health Information System" generates permanent records. The Authorized Disposition instructions are to transfer a copy of the system with related documentation to NARA every five years.

If the scheduling of an e-record system is still in process, you may encounter a system whose SF115 has been submitted to NARA for approval but the approval is pending. This is indicated by the "Unscheduled" and "NARA approval pending" comments shown in the Authorized Disposition column. These e-records are considered permanent until an electronic Disposition Schedule for USAID e-records has been approved by NARA.

Media Retirement

During disposition phase:

- ▶ Authorized individual validates destruction or transfer
- ▶ Audit trail is kept
- ▶ Select proper retirement media
- ▶ Consult your Client Analyst

Authorized Disposition
Destroy when one year old. The record copy is maintained in hard copy.
Destroy when six years old.
Permanent. Transfer a copy of the system with related documentation to NARA in 1988. Transfer updates every five years thereafter.
Permanent. Transfer to NARA with related documentation on an annual basis.

Figure 32

Temporary e-records may be held for a year or longer before they can be destroyed and permanent e-records must be sent to M/AS/IRD for transfer to the **Federal Records Center**.

Once the authorized disposition schedule states the record is to be retired or destroyed, an authorized individual must validate the record's destruction or **transfer** and document the disposition actions. Currently, the most common method for transferring e-records media is via CD-ROM. However, technology changes rapidly and the electronic media suitable for archival purposes should be constantly reevaluated. Each medium, whether CD-ROM or back-up tape, has differing life spans and proactive preservation of record data may require migration to a new medium or format.

Contact your M/AS/IRD Client Analyst for assistance regarding:

- The proper procedures to migrate the record data.
- Proper labeling and mailing procedures for preparing e-records for retirement and transfer to M/AS/IRD.

For more information, please review **USAID ADS Chapter 502**.

Where to Get Help

- M/AS/IRD for latest policy guidance
- ADS Chapter 502, Section 502.5.6, Electronic Records Management
- NARA website for records management information
- USAID Records Management Client Analyst, Records Liaison Officers, and C&R Supervisors



Records Management Client Analyst



RLO/
C&R Supervisor
USAID Ronald Reagan Building



Policies and procedures are evolving

Figure 33

Federal and USAID policy directives, procedures, and mandatory guidelines for e-records are constantly evolving. USAID staff responsible for creating, managing, and disposing of e-records should consult regularly with M/AS/IRD for the latest records guidance. Answers to e-records questions may also be found in **USAID ADS Chapter 502.5.6, Electronic Records Management**. Another excellent resource for Records Management information is the **NARA Web site**.

In addition, your RLO, C&R Supervisor, and your M/AS/IRD Client Analyst can answer questions about the creation, maintenance, and disposition of e-records. Please do not hesitate to contact them if you require assistance.

CHAPTER 4 TEST

1. **Which of the following best describes how AID Form 502-1, Information Systems Inventory, should be used?**
 - a. The system owner completes and submits the form to the Records Management M/AS/IRD Client Analyst after the system has been fully documented and tested.
 - b. The system owner uses the form to document the system for office users. The system owner does not submit the form to the Records Management M/AS/IRD Client Analyst.
 - c. As new information systems are developed, system owners must complete the form and submit it to the Records Management M/AS/IRD Client Analyst.
 - d. The form is submitted to NARA to request a disposition authority for a new system.

2. **What is the current USAID policy for an electronic Federal record that has not been scheduled?**
 - a. A copy of the electronic record must be maintained in a network directory in the office, and a copy must be sent to M/AS/IRD to be maintained on its system.
 - b. Three copies of the electronic record must be maintained in the office to protect against inadvertent corruption or deletion.
 - c. The record must be printed and maintained in hard copy in the office's official files.

3. **Which of the following are good practices for maintaining and using e-records? Select all that apply.**
 - a. Protect the integrity of the data by having a backup and recovery system.
 - b. Restrict access to e-records to authorized users only.
 - c. Ensure that users know their responsibilities for the office's e-records.
 - d. Ensure that electronic information systems have up-to-date documentation.
 - e. All of the above

CHAPTER 4 TEST

4. Which statements about the disposition of e-records are true and which are false?

a. All e-records are temporary and may be destroyed when no longer needed.	True	False
b. The disposition for an electronic copy and the printed copy for the official files are always identical.	True	False
c. You should consult the Disposition Schedule for e-records before destroying or retiring any.	True	False
d. If the Disposition Schedule for an electronic information system has "NARA Pending" in the disposition authority column, the record is considered permanent and you may not destroy it.	True	False

Vital Records Program

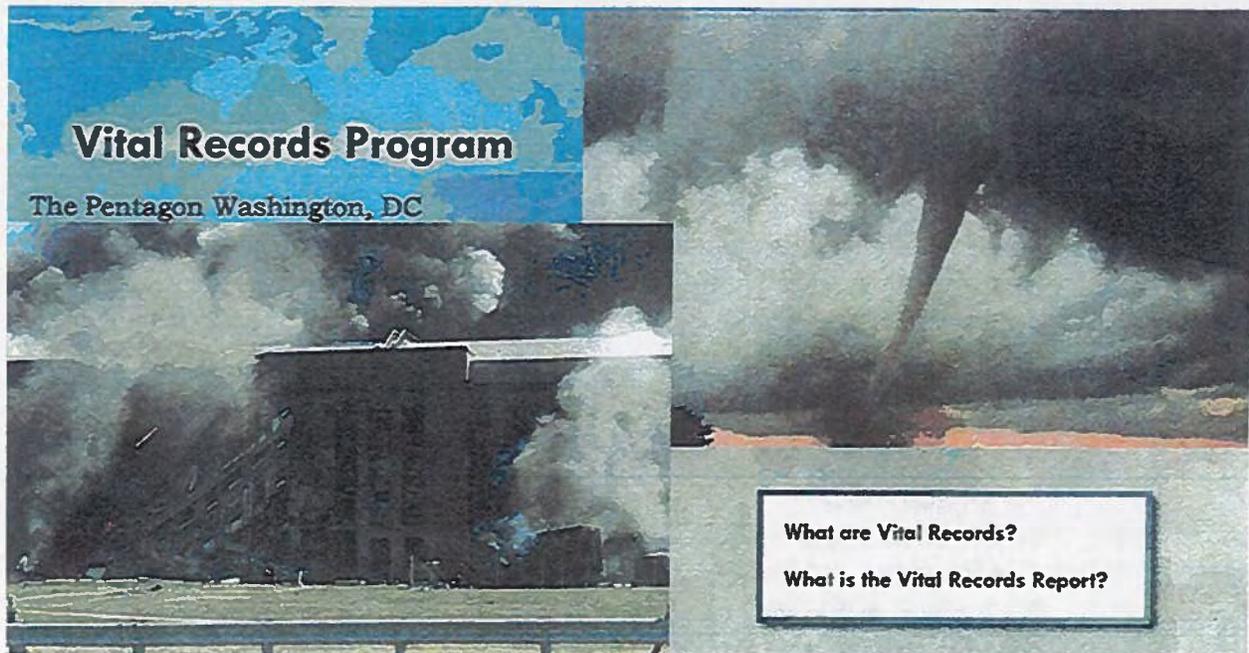


Figure 34

From time to time, **official files** are corrupted or destroyed. **Document** loss may be the result of human error, such as misplacement of a file, or an event out of our control, such as a natural disaster or act of war. Therefore, offices that have a sound records management program also require a recovery and backup plan to ensure against loss.

USAID maintains Emergency Operating Records as part of its **Vital Records Program**. These records help maintain continuity of Agency operations during and after an emergency. Because not all records are considered vital, this chapter defines a **vital record** and explains how the Agency uses the Vital Records Report to catalog the identity and location of records in an emergency.

What is a Vital Record?

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Emergency Operating Records:

- ▶ Vital to Government for duration of emergency
- ▶ Necessary to mobilize and protect manpower and material
- ▶ Needed immediately

Rights and Interest Records:

- ▶ Preserve rights/interests of individuals and Federal Government
- ▶ Are needed to reestablish activities

EXAMPLES

- ▶ Emergency operating plans
- ▶ Emergency contacts
- ▶ Critical functions of the office

- ▶ Personnel files
- ▶ Payroll records
- ▶ Contract files
- ▶ Invoices
- ▶ Budget reports
- ▶ List of programs

Figure 35

There are two categories of Vital Records:

Emergency Operating Records and Rights and Interest Records.

1. **Emergency Operating Records** are records that are vital to the performance of critical functions of the Federal Government for the duration of an emergency. These are the records that are needed to mobilize and protect material and manpower resources, services, and systems. During an emergency, these records will be required immediately.

Examples of Emergency Operating Records include:

- Emergency procedures;
- Emergency contact lists for employees, contractors, small and medium-sized enterprises (SMEs), and vendors; and
- Lists of critical functions of USAID Bureaus/Independent Offices and Missions

2. **Rights and Interest Records** are records that preserve the legal rights and interests of individual citizens and the Federal Government. Once an emergency has ended, these records will be needed to reestablish and resume Agency activities and programs.

Examples of Rights and Interest Records include:

- Personnel files and payroll records
- Contracts and Invoices
- Budget reports, and
- A list of programs and activities for active procurements

What is Your Role?



Figure 36

All offices are required to identify both their Emergency Operating Records and Rights and Interest Records. Copies of vital records are stored electronically on a designated computer drive, or, if the records are not available electronically, paper copies are created for off-site storage at National Archives and Records Administration (NARA) or Washington National Records Center (WNRC).

The Vital Records Program involves staff throughout the Agency:

- Management of Bureaus/Independent Offices and Missions identify Agency critical functions;
- Program Officials and Technical Officers identify vital records;
- File Custodians assist in completing required forms (discussed in the next section); and
- The Records Liaison Officers (RLO) or Communications and Records (C&R) Supervisors consolidate submissions of all vital records.

All Agency personnel take part in supporting the Vital Records Program by verifying that vital records are current and complete.

The Vital Records Report

Washington Offices:

- ▶ Send report to M/AS/IRD
- ▶ Send copies of records M/AS/IRD

Missions:

- ▶ Send report to M/AS/IRD
- ▶ Store records and copy of report offsite

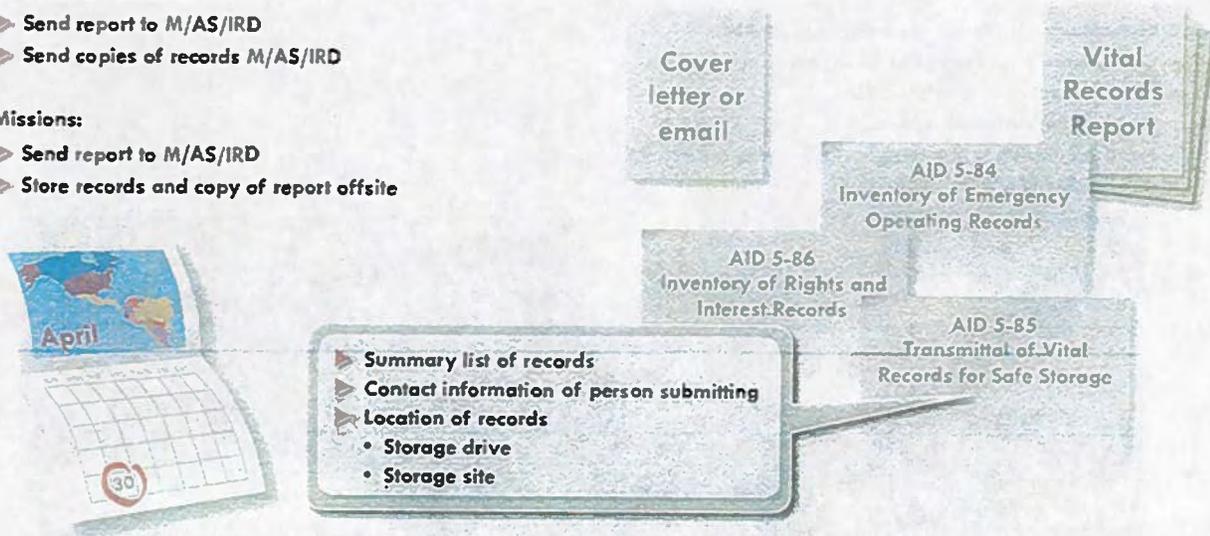


Figure 37

The Vital Records Report consists of a cover letter or e-mail and three separate completed forms:

- **AID 5-84, Inventory of Emergency Operating Records** lists the Emergency Operating Records
- **AID 5-85, Transmittal of Vital Records for Safe Storage:**
 1. Provides summary information regarding records listed on the other two forms;
 2. Provides contact information for the person submitting the report;
 3. Identifies the location of copies of the Vital Records; and
 4. Identifies the storage drive for e-records and paper records.
- **AID 5-86, Inventory of Rights and Interest Records** lists an office's Rights and Interest Records.

USAID/Washington offices submit the Vital Records Report to Bureau for Management/Administrative Service/Information Records Division (M/AS/IRD) annually by April 30th of each year, along with copies of any paper records. M/AS/IRD then transfers the records to off-site storage locations NARA or WNRC.

Missions submit the Vital Records Report to M/AS/IRD, but NOT the copies of paper records. Missions are responsible for preparing and storing any paper copies of Vital Records in a local off-site storage facility overseas.

The Vital Records Program Benefits

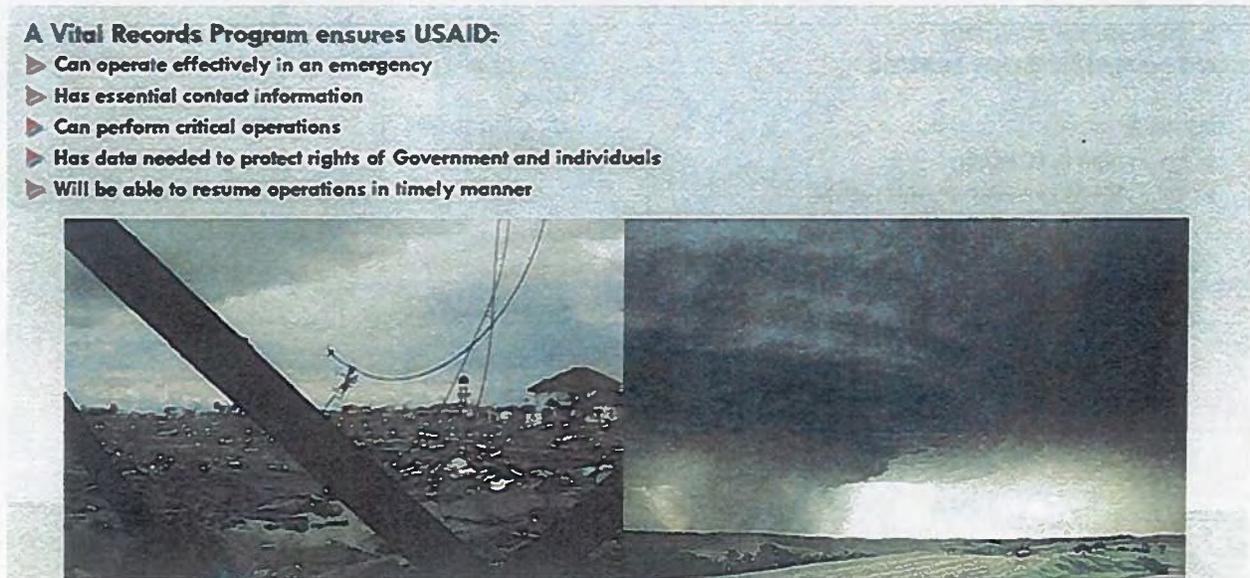


Figure 38

With a well-maintained Vital Records Program, USAID can operate effectively during an emergency. The Agency will be able to identify and contact essential staff, account for its personnel, and perform critical operations. It will have the required specific data to protect the financial and legal rights of the Government and the general public, and will be able to resume normal operations in a timely manner.

Please refer to the Resource section for sample forms:

- AID 5-84- Inventory of Emergency Operating Records
- AID 5-85 - Transmittal of Vital Records for Safe Storage
- AID 5-86 - Inventory of Rights and Interest Records

CHAPTER 5 TEST

1. Which of the following are Emergency Operating Records and which are Rights and Interest Records? (Choose one)

a. Budget Reports	Emergency Operating Records	Rights and Interest Records
b. Contracts List	Emergency Operating Records	Rights and Interest Records
c. Emergency Action Plan	Emergency Operating Records	Rights and Interest Records
d. Emergency Contact List	Emergency Operating Records	Rights and Interest Records
e. Payroll Records	Emergency Operating Records	Rights and Interest Records

2. Which of the following are included in the Vital Records Report? (Select all that apply)

- a. AID 5-84, Inventory of Emergency Operating Records
- b. AID 5-85, Transmittal of Vital Records for Safe Storage
- c. AID 5-86, Inventory of Rights and Interest Records
- d. AID 502-1, Information Systems Inventory
- e. AID 520-2, Records Inventory and Disposition Plan

1. **Who is responsible for records management at USAID?**
 - a. M/AS/IRD Client Analysts and the M/AS/IRD staff.
 - b. Records Liaison Officers (RLOs) or Communications and Records (C&R) Supervisors and File Custodians.
 - c. Bureau/Independent Office/Mission Heads and RLOs or C&R Supervisors.
 - d. All USAID direct hire staff members.

2. **Which of the following statements is NOT true about ADS Chapter 502, The USAID Records Management Program?**
 - a. It is an online reference.
 - b. It provides guidelines for USAID records management.
 - c. It prescribes a strict file structure that must be followed by all USAID units.
 - d. It brings together in one resource all USAID records management policy directives and required procedures.

3. **Which of the following documents should NOT be filed as a Federal record in the official files?**
 - a. The original copy of a contract.
 - b. An employee's annual performance review.
 - c. An e-mail requesting information on a program.
 - d. Three copies of the quarterly activity report used in an official staff meeting.

4. **In records management, what is a series?**
 - a. A group of related records that are assigned a three-letter code for the purpose of filing by subject.
 - b. A group of records that are arranged in chronological or alphabetical order.
 - c. A group of related records, held for the same period of time, assigned a unique number.
 - d. A group of records used for reference or convenience.

5. **Which of the following statements about the USAID Records Disposition Schedule is FALSE?**
 - a. The Disposition Schedule assigns three-letter subject codes to each series.
 - b. The Disposition Schedule instructs how long to hold official records.
 - c. The Disposition Schedule instructs how to dispose of official records.
 - d. The Disposition Schedule lists all file series by functional/organizational area, and describes each series.

6. **What other information must be included on a subject file label in addition to the subject code, subject file title, and the expanding heading (if applicable)?**
- Nothing else.
 - The fiscal year.
 - The date of the document.
 - The country or region.
7. **Which of the following is NOT included in the file plan?**
- The item number for each series of records in the office.
 - The physical location (e.g., cabinet and file drawer) for all the office's official records.
 - A list of Rights and Interests Records for the office.
 - The disposition instructions for all records in the office.
8. **Which one of the following statements describes the proper procedure to follow when taking records out of the official file to use?**
- Inform the file custodian via e-mail which records you removed, how you intend to use them, and when you intend to return them.
 - Use a charge-out card and fill in your name, the date the records were removed, and a description of the records.
 - Indicate that files were removed by putting a yellow Post-it® note on the drawer. The label should include your name and the date the records were removed.
 - There is no need to do anything special; just return the records in a timely manner.
9. **Which of the following statements about the term "cut off", as used in the context of records management, is FALSE?**
- All files at USAID are cut off at the end of each fiscal year.
 - The purpose of cut off is to keep files from accumulating.
 - Cut off is the date beyond which no new records can be added to the files.
 - The USAID Disposition Schedule specifies when files are cut off.

- 10. Consider this situation: You have some records that are closed, and you are no longer using them. You are unsure of their category, but you suspect that the records are temporary. What should you do with the records?**
- a. Since you think the records are temporary, maintain them in the office for three years, and then destroy them.
 - b. Since you are no longer using the records, and they are closed, contact your M/AS/IRD Client Analyst and ask for permission to transfer them to M/AS/IRD for retirement.
 - c. Since you do not have a disposition authority, maintain the records in the office until you obtain one; then, contact M/AS/IRD for assistance.
 - d. Since the records are closed and you believe them to be temporary, you can destroy them when they are no longer needed.
- 11. It is the end of the fiscal year, and you have cut off some correspondence files. The disposition instructions for these records are: "Temporary, Hold in the office for 2 years, then retire to WNRC. Destroy 10 years after cut off." What should you do with the records?**
- a. Hold them in the office or off-site storage and destroy them after 10 years.
 - b. Hold them in the office for two years. Then prepare them for retirement and send them to M/AS/IRD, which will retire them to WNRC.
 - c. Hold them in the office for two years, and then transfer them to WNRC.
 - d. Hold them in the office for two years, and then destroy them.
- 12. Where do you send permanent records after you hold them in the office for a prescribed time period?**
- a. Send them to M/AS/IRD.
 - b. Send them to NARA.
 - c. Send them to WNRC.
 - d. Send them to off-site storage.
- 13. Suppose that you have a few permanent and temporary files that are ready to be retired. You have held them in the office for the prescribed time period. There are just enough records to fit in one box. What should you do?**
- a. Wait until you have more records to retire.
 - b. Place them in one box, and clearly indicate the contents on the box label.
 - c. Package them separately in two padded manila envelopes.
 - d. Since there are so few records, just destroy them.

- 14. Which of the following describes how AID Form 502-1, Information Systems Inventory, should be used?**
- a. The form is completed by the system owner and submitted to the Records Management M/AS/IRD Client Analysts after the system has been fully documented and tested.
 - b. The form is used internally by the system owner to document the system for the office users.
 - c. As new information systems are developed, system owners are required to complete the form and submit it to the M/AS/IRD Client Analyst.
 - d. This form is submitted to NARA to request a disposition authority for a new system.
- 15. What is the current policy for a Federal electronic record that has been scheduled?**
- a. A copy of the electronic record must be maintained in a directory on the office network, and a copy must be sent to M/AS/IRD to be maintained on its system.
 - b. Three copies for the electronic record must be maintained in the office to protect against inadvertent corruption or deletion.
 - c. The record must be printed and maintained in hard copy in the office's official files.
 - d. Electronic copies are considered permanent records and may be destroyed.
- 16. When should you dispose of e-records?**
- a. All e-records are temporary. Dispose of them when you no longer need them.
 - b. All e-records are permanent. Dispose of them according to the disposition schedule.
 - c. If there is a disposition authority, follow it. If there is no disposition authority, destroy the records.
 - d. If there is a disposition authority, follow it. If there is no disposition authority, hold the records until there is one.
- 17. How often and when must the Vital Records Report be submitted to M/AS/IRD?**
- a. It must be submitted each year by April 30.
 - b. It must be submitted the first of every month.
 - c. It must be submitted by the end of each fiscal year.
 - d. It must be submitted twice yearly at the discretion of the individual office.

18. Which of the following is NOT included in the Vital Records Report?

- a. An inventory of Emergency Operating Records.
- b. An inventory of Rights and Interest Records.
- c. A form that indicates the location of the emergency records.
- d. A Records Inventory and Disposition Plan.

19. How often must the file plan, also known as AID 502-2, Records Inventory Disposition Plan, be submitted to M/AS/IRD?

- a. Annually.
- b. The first of every month.
- c. Twice yearly at the discretion of the individual office.
- d. It is an optional form; submission is not required.

20. What is the role of the M/AS/IRD Client Analyst?

- a. Assists in designing and refining your office filing system based on knowledge of the office program and functions.
- b. Coordinates implementation of the filing system, and identifies the location of the official file stations for your office.
- c. Implements records management procedures for your office.
- d. Helps your office apply ADS Chapter 502 policy directives and required procedures and answers specific questions about records management.

<u>Term</u>	<u>Definition</u>
ACCESSION NUMBER	The sequential number given to records as it is entered in the M/AS/IRD system
APPRAISAL	The process of determining the value and the disposition of records based upon their current administrative, legal, and fiscal use; their evidential and informational value; their arrangement and condition; their intrinsic value; and their relationship to other records.
ARCHIVES	<p>(1) The non-current records of an organization that are preserved because of their continuing or enduring value. "National Archives of the United States" indicates those records that have been determined by the Archivist of the United States to have significant historical or other value to warrant their continued preservation by the Federal Government and that have been transferred to the archivist's legal custody.</p> <p>(2) The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records (also call archival agency). In the U.S. Government, this is the National Archives and Records Administration (NARA).</p> <p>(3) One or more buildings, or portions thereof, where permanent records are located after being accessioned by an archival agency. Also called archival depository.</p>
AUDIOVISUAL RECORDS	Records in pictorial or aural form. Include still and motion pictures; graphic materials, such as posters and original art; audio and video recordings; and combinations of media such as slide-tape productions.
CASE FILES	Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Includes personnel, project and transaction files.
CASE WORKING FILES	Background or support files, such as worksheets, questionnaires, rough notes, calculations, or drafts, used to prepare or analyze case file documents. Often bulky when in paper form.
CHARGEOUT	The act and result of recording the removal and loan of a document or a file to indicate its location. Usually involves the use of a form, such as OF-23.

CHRONOLOGICAL (CHRON) FILES	Incoming and outgoing correspondence records and cables arranged chronologically. Usually kept for convenience of reference only, in some offices they are integral to the work of the unit and are part of the official file. See also CONVENIENCE FILES.
CLOSED FILE	(1) A file unit or series containing documents on which action has been completed and to which more documents are not likely to be added. (2) A file unit or series to which access is limited or denied.
CONVENIENCE FILES	Extra non-record copies of correspondence, completed forms and other documents kept solely for ease of access or reference.
CROSS-REFERENCE	In files management, a finding aid, such as OF-21, directing a user from one place in a file to another when a particular document must be retrievable under more than one filing feature. See also FILING FEATURE.
CURRENT RECORDS	Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.
CUT OFF	Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed.
DESCRIPTION	1) The process of analyzing, organizing, and recording information that serves to identify, manage, locate, and explain documentary material, and the contexts and record systems from which that material was selected. 2) The written representation or products of the above process.
DESTRUCTION	In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating or discarding with other waste materials.
DISPOSITION	The actions taken regarding records no longer needed for current Government business. These actions include: transfer to agency storage facilities or Federal Records Centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the third stage of the records life cycle.
DISPOSITION SCHEDULE	See RECORDS SCHEDULE.

DOCUMENT	<p>(1) Recorded information regardless of physical form or characteristics. Often used interchangeably with the word record.</p> <p>(2) An individual record or an item of non-record materials or of personal papers.</p>
ELECTRONIC RECORDS	Records stored in a form that only a computer can process (also called machine-readable records or automated data processing [ADP] records).
FILE	A document or collection of papers.
FILE CATEGORY	A structured format used to classify a document or collection of papers
FILE CUSTODIAN	Appointed to assist the ROL or C&R Supervisor to collect and file all documents pertaining to an office.
FILE PLAN	<p>(1) A plan designates the physical location at which an agency's files are to be maintained, the specific types of files to be maintained there and the organizational element(s) having custodial responsibility.</p> <p>(2) A document containing the identifying number, title or description, and disposition authority of files held in an office. See also FILING SYSTEM.</p>
FILE STATION	Any location in an organization at which records are maintained for current use.
FILE TYPES	Categories or classes of files
FILING	Putting documents into their place in accordance with a plan, or filing system
FILING FEATURE	A characteristic by which a document is filed and found, such as a number, date, title, name, or subject. See also CROSS-REFERENCE
FILING SYSTEM	An organized arrangement of documents or collection of papers.
GUIDE CARDS	Labeled dividers used to separate a series.

INVENTORY

(1) A survey of agency records and non-record materials that is conducted primarily to develop records schedules and also to identify various records management problems, such as improper applications of recordkeeping technology.

(2) The results of such a survey.

(3) In archives administration, a type of finding aid for accessioned permanent records.

LIFE CYCLE OF RECORDS

The management concept that records pass through several states; creation, maintenance and use, and disposition.

LITIGATION HOLD

A legal order to save all information, paper and electronic, so that data related to the legal action is not destroyed or altered.

MATERIALS

Any documents or other medium that relate to agency business. Materials can be official files, non-records materials or personal papers.

MEDIUM

The physical material in or on which information may be recorded (e.g., paper, magnetic tape, film).

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)

The Federal agency responsible for appraising, accessioning, preserving, and making available permanent records. See also ARCHIVES

NON-RECORD MATERIALS

U.S. Government-owned documentary materials excluded from the legal definition of records or not meeting the requirements of that definition. Includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. See also RECORDS.

OFFICIAL FILES

Records pertaining to the operations of an office. Official files could be temporary or permanent, depending on their series.

PERMANENT RECORDS

Record appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes (sometimes called archival records).

PERSONAL PAPERS

Documentary materials belonging to an individual that are not used to conduct agency business (related solely to an individual's own affairs or used exclusively for that individual's convenience). Must be clearly designated as such and kept separate from the agency's records. Also called personal files or personal records.

RECORDS

According to 44 U.S.C. 3301, "includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of that organization's functions, policies, decisions, procedures, operation, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, and stocks of publications and of processed documents are not included." Also called Federal records, which exclude Presidential records of the U.S. Congress.

RECORDS CENTER

A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives. Includes NARA-authorized agency records centers and NARA-operated Federal records centers such as the Washington National Records Center.

RECORDS SCHEDULE

A document providing mandatory instructions for what to do with records (and non-record materials) no longer needed for current government business, with provision of authority for the final disposition of recurring or nonrecurring records. Includes the SF-115, the General Records Schedules, and the agency records schedule, which when completed, becomes a comprehensive records schedule that also contains agency disposition instructions for non-record materials.

RETENTION PERIOD

The length of time that records are to be kept.

RETIREMENT

The transfer of records to agency storage facilities or a Federal Records Center.

ROUTING SLIP

A form used to track the movement of documents.

SERIES	File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Series are generally handled as a unit for disposition purpose. .
SHELF LIST	A detailed list of records that are ready to be retired. It includes the item number, description, and is referenced by numbers to the disposition schedule instructions.
SPECIAL MATERIALS	Charts, maps, journals, audio/visual or other materials, that pertain to agency business
SUBJECT FILES	Letters, memoranda, cables, reports, and documents involving a wide variety of subjects. They bring together documents relating to the same subject so that information can be easily found. USAID subject files are arranged according to the code system found in the ADS Chapter 502.
SUBJECT OUTLINE	In files management, a list of topics arranged hierarchically (i.e., by primary, secondary, tertiary topics) and serving as the source for selecting file designations for arranging, or classifying the documents of a subject file.
SUSPENSE FILES	Files arranged chronologically to remind officials of actions to be completed by a specific date. Also called TICKLER FILES
TECHNICAL REFERENCE FILES	Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are not properly part of the office's records.
TEMPORARY RECORDS	Records approved by NARA for disposal, either immediately or after a specified retention period. Also called disposable or nonpermanent records.
TRANSFER	<p>(1) The processes supporting the moving of documentary material from one location to another. Usually used to refer to transfer of materials from the creator or custodian to NARA (including Federal records centers).</p> <p>(2) The body of documentary material for which physical custody is transferred.</p>

TRANSITORY FILES

Correspondence relating to matters of short-term interest such as receipt acknowledgments for publications, routine inquiries for publications, and announcements of savings bond campaigns, in contrast to administrative and program correspondence making up the general correspondence files. Also called TRANSITORY FILES.

UNSCHEDULED RECORDS

Records whose final disposition has yet not been approved by NARA.

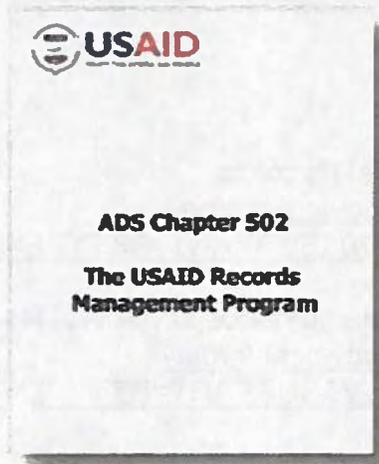
VITAL RECORDS

Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Also called ESSENTIAL RECORDS. Vital Records considerations are part of an agency's records disaster prevention and recovery program.

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USAID Web sites



ADS Chapter 158 – Litigation Holds
<http://www.usaid.gov/policy/ads/100/158.pdf>

ADS Chapter 502
<http://www.usaid.gov/policy/ads/500/502.pdf>

ADS Chapter 511 – Vital Records Program
<http://www.usaid.gov/policy/ads/500/511.pdf>

AID Form 520-2 – Records Inventory and Disposition Plan
<http://www.usaid.gov/forms/a520-2.doc>

USAID Electronic Records Disposition Schedule
<http://www.usaid.gov/policy/ads/500/502maa.pdf>

USAID Subject Outlines/Codes
<http://www.usaid.gov/policy/ads/500/502mae/502mae.pdf>

USAID/Washington and Missions Disposition Schedules
http://www.usaid.gov/policy/ads/500/502mac/502mac_toc.html

Other Useful Records Management Web Sites

(Current as of April 2010)

36CFR1220 - General Federal Records

<http://frwebgate.access.gpo.gov/cgi-bin/get-cfr.cgi?TITLE=36&PART=1220&SUBPART=B&TYPE=TEXT>

36CFR1222 - Creation and Maintenance of Federal Records

<http://frwebgate.access.gpo.gov/cgi-bin/get-cfr.cgi?TITLE=36&PART=1222&SUBPART=B&TYPE=TEXT>

36CFR1223 – Maintaining Vital Records

<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=305e1d66079b50826eee6ee00155d622&rgn=div5&view=text&node=36:3.0.10.2.12&idno=36>

36CFR1226 - Implementing Disposition

<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=305e1d66079b50826eee6ee00155d622&rgn=div5&view=text&node=36:3.0.10.2.15&idno=36>

36CFR1236 – Electronic Records Management

<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=305e1d66079b50826eee6ee00155d622&rgn=div5&view=text&node=36:3.0.10.2.25&idno=36>

NARA link to General Records Schedule 20 – Electronic Records

<http://www.archives.gov/records-mgmt/ardor/grs20.html>

NARA Records Management Guidance and Regulations

<http://www.archives.gov/records-mgmt/policy/guidance-regulations.html>

NARA Records Storage Facility Standards Toolkit

<http://www.archives.gov/records-mgmt/storage-standards-toolkit/>

List of M/AS/IRD Client Analysts

M/AS/IRD RECORDS TEAM CLIENT LIST

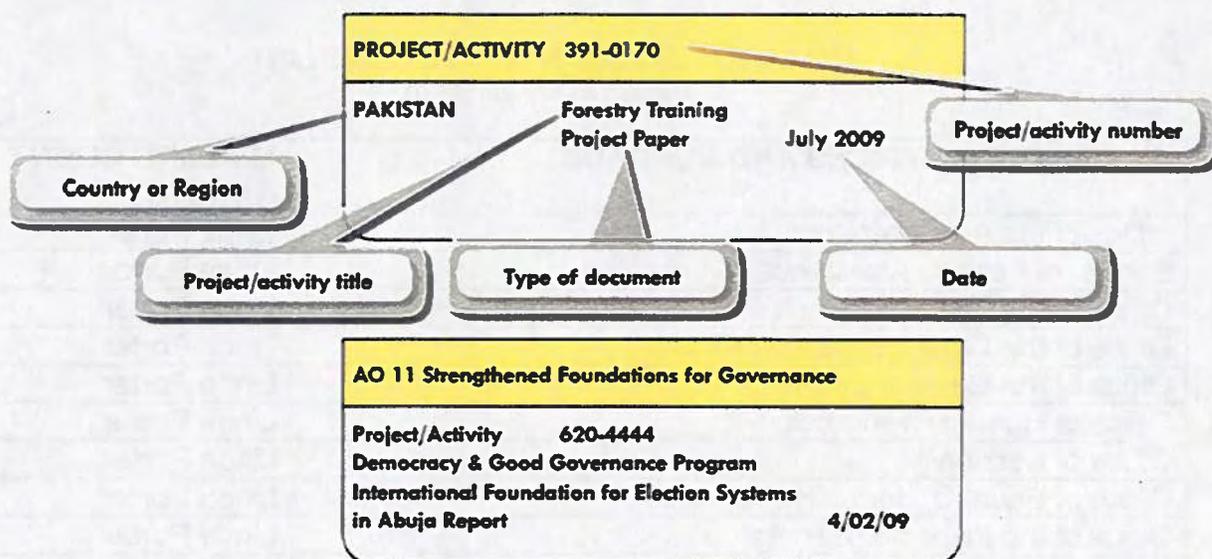
(Current as of April 2010)

WASHINGTON OFFICES AND BUREAUS	M/AS/IRD CLIENT ANALYST
Office of the Administrator	Linda Porter
Bureau of Foreign Assistance	Linda Porter
Office of the Executive Secretariat	Linda Porter
Office of the Chief Operating Officer	Linda Porter
Office of the General Counsel	Linda Porter
Office of Human Resources	Linda Porter
Office of Security	Linda Porter
Office of Equal Opportunity Programs	Linda Porter
Office of the Inspector General	Linda Porter
Office of Small and Disadvantaged Business Utilization	Linda Porter
Office of Development Partners	Linda Porter
Global Development Alliance	Linda Porter
Center for Faith-Based and Community Initiatives	Linda Porter
Bureau for Democracy, Conflict and Humanitarian Assistance	Linda Porter
Bureau for Economic Growth, Agriculture and Trade	Linda Porter
Bureau for Global Health	Linda Porter
Bureau for Legislative and Public Affairs	Linda Porter
Bureau for Management	Linda Porter

MISSIONS AND REGIONAL BUREAUS	M/AS/IRD CLIENT ANALYST
Africa Bureau and Missions	Cynthia Staples
Asia Bureau and Missions	Beverly Johnson
Middle East Missions	Taniesha Tolbert
Europe and Eurasia Bureau and Missions	Taniesha Tolbert
Latin America and the Caribbean Bureau and Missions	Kenneth Matthews

M/AS/IRD Records Inquiry Mailbox recordsinquiry@usaid.gov

Filing Tips



To avoid accumulating unneeded materials:

- Stop making unnecessary copies.
- Stop sending extra copies to other offices unless requested.
- Request that your office be taken off the distribution list for unneeded material.
- Circulate publications, then recycle rather than file them.

Is the record ready to be filed?

- Should it be circulated first?
- Is the filing authority on the paper?
- Is there a completed date (month, day, and year)?
- Is it stamped to show that outgoing correspondence was signed?
- Are the papers complete? Check for enclosures or attachments.
- Are parts of another file accidentally attached?
- Are all routing slips (that do not require filing), envelopes, etc., removed?
- Are there torn pages which require mending?

Where should the record be filed?

To determine the most logical category:

- Check for a subject line or title.
- Scan the text, as the actual subject may differ from the subject line.
- Determine the purpose or function of the paper.
- Verify who would ask for the item and where the individual would look for it.
- When in doubt, ask supervisory or management staff.

Use good filing methods:

- Put the latest date in the front of the folder if the papers in the folder are in chronological order.
- If a folder becomes three-quarters of an inch thick, close out the folder. Mark the end date of that folder, and make a new folder with a label identical to the old one but with the new starting date.
- File guide cards separate from groups of files in a drawer. Use no more than five guide cards in one drawer.
- Leave at least four inches of working space in each drawer.

Preparing Eligible Records for Retirement

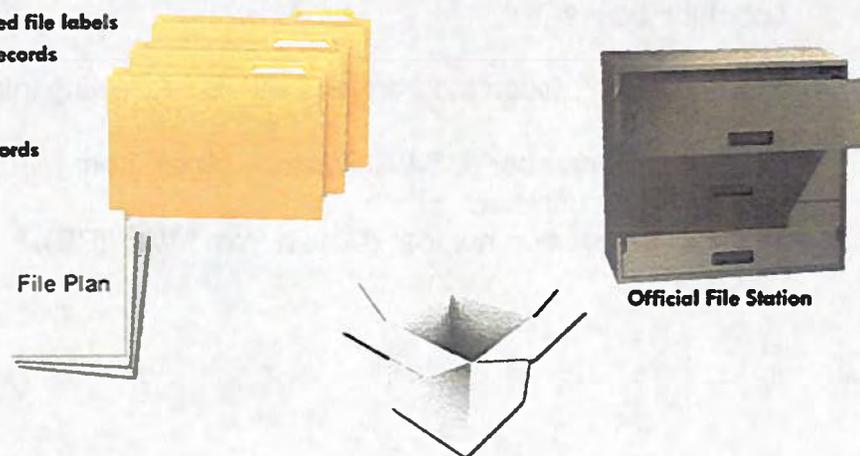
Official files:

- Are identified by yellow-banded file labels
- Are grouped together by like records

File plan:

- Outlines the filing system
- Specifies how long to keep records

Examples of Official Files



1. Prepare a shelf list, which is an inventory of the files you are placing in the records box for retirement or transfer.

E-mail the shelf list to the Records Depository Staff for review **BEFORE** the boxes are sent to the Records Depository Office. The staff will review the shelf list, enter Accession and/or Lot numbers, and email your list back to you. Keep this amended copy in a safe location, since it is the **only key to finding records that have been retired.**

2. Pack the records correctly.

As the shelf list is typed, pack the corresponding folders in a box. Use standard one-piece cardboard records storage and shipping boxes (measuring approximately 15" x 12" x 10") which will hold one cubic foot of records. Boxes may be obtained from the Records Depository Office in USAID/W and can be purchased by the Missions through the U.S. General Services Administration

(GSA) catalogue at www.GSAGlobalsupply.gsa.gov (item number 8115-00-117-8249).

Letter-sized records are packed to face the front and legal-sized records are packed to face the left side of the box. Records are packed in an upright position in the same order as indicated on the shelf list. Leave enough room for folders to be pulled out. If the last box is not full, place wadded-up paper in the empty space. Wrap oversized materials, such as ledgers, in heavy paper, and tie or tape securely.

The following packing instructions should be given special attention:

- Pack classified and unclassified records in separate boxes.
- Do not mix permanent and temporary records.
- Pack records with the same retention period in the same box.

3. Label the boxes.

Label each box on the front end with the following information:

- Lot number (USAID/W only – obtain from M/AS/IRD).
- Box number.
- Accession number (Obtain from M/AS/IRD).

Forms and Sample Forms

Optional Form 23 – Charge out Records

[http://contacts.gsa.gov/webforms.nsf/0/215FE61E0C60EAC0862574DE004142B1/\\$file/of23.pdf](http://contacts.gsa.gov/webforms.nsf/0/215FE61E0C60EAC0862574DE004142B1/$file/of23.pdf)

SF 115 – Request for Records Disposition Authority

<http://www.archives.gov/records-mgmt/policy/standard-form-115.html>

AID 5-84 – Inventory of Emergency Operating Records

<http://www.usaid.gov/forms/a5-84v2.doc>

AID 5-85 – Transmittal of Vital Records for Safe Storage

<http://www.usaid.gov/forms/a5-85v2.doc>

AID 5-86 – Inventory of Rights and Interest Records

<http://www.usaid.gov/forms/a5-86v2.doc>

AID 520-2 – Records Inventory and Disposition Plan

<http://www.usaid.gov/forms/a520-2.doc>

Shelf Listing

AID 502-1 – Information System Inventory

Calendar Checklist for Records Management Responsibilities

Optional Form 23 – Chargeout Record

OUT

IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)	CHARGED TO (PERSON & OFFICE)	DATE CHARGED OUT
OPTIONAL FORM 23 FEB 1962 GSA Circular No. 259	CHARGEOUT RECORD 5023-101	NSN: 7540-00-823-8130
DATE CHARGED OUT	CHARGED TO (PERSON & OFFICE)	IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)

OUT

FPI-65T

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK (NARA use only)
JOB NUMBER

**TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION
 (NIR)**

DATE RECEIVED

1. FROM (Agency or establishment)

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

**4. NAME OF PERSON WITH WHOM TO
 CONFER**

5. TELEPHONE

DATE

ARCHIVIST OF THE UNITED STATE

6. AGENCY CERTIFICATION
 I hereby certify that I am authorized to act for this agency in the matters pertaining to the disposition of its records and that the records proposed for disposal attached _____ page(s) are not needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

115-109.1.1

NSN 7540-00-634-4064
 PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
 Prescribed by NARA
 36 CFR 1228

INVENTORY OF EMERGENCY OPERATING RECORDS
(Instructions on Page 2)

ORIGINATING OFFICE *(Service or Staff Office)*

PREPARED BY <i>(Name of Program Official)</i>		DATE	REVIEW BY <i>(Signature of Vital Records Officer)</i>			DATE	APPROVED BY <i>(Signature of approving official)</i>		DATE
Item No.	ITEM DESCRIPTION <i>Name, description, subject, form no., reports control symbol, etc.)</i>	MEDIA <i>(Paper auto-mated, Micro-film, etc.)</i>	SITE Article I. LOCCATION			NAME OR TITLE AND CORRES. SYMBOL OF PERSON SENDING COPIES TO SITE(4)	FREQUENCY OF DISPATCH (5)	SITE MAINTENANCE AND DISPOSITION INSTRUCTIONS (6)	
			MAIN	CO	RO				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

TRANSMITTAL OF VITAL RECORDS FOR SAFE STORAGE

(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:	
TO: (Insert appropriate Relocation Site)		ITEM NO.	
DATE RECORD TRANSMITTED	VOLUME TRANSMITTED (in cubic feet)	BOX NO.	
DOES RECORD REPLACE OTHER MATERIAL IN SAFE STORAGE? <input type="checkbox"/> YES <input type="checkbox"/> NO			
IF "YES" SHOW ITEM NUMBER OF RECORD TO BE DESTROYED		<i>Obtain from office file of "Transmittals" (See Item 2 of Instructions)</i>	
TITLE OR IDENTIFICATION OF RECORD 			
REMARKS 			
F R O M	OFFICE NAME		SIGNATURE <i>(Vital Records Liaison Officer)</i>
	ROOM NO. AND BLDG.	TELEPHONE CODE AND EXTENSION	DATE TRANSMITTED

AID 5-85 (02/99)

INVENTORY OF RIGHTS AND INTEREST RECORDS <i>(Instructions on Page 2)</i>					ORIGINATING OFFICE <i>(Service or Staff Office)</i>				
PREPARED BY <i>(Name of Program Official)</i>		DATE	REVIEWED BY <i>(Signature of Vital Records Liaison Officer)</i>		DATE	APPROVED BY <i>(Signature of approving official)</i>		DATE	
ITEM NO. (1)	ITEM DESCRIPTION <i>(Name, description, subject, form no., reports control symbol, etc.)</i> (2)	MEDIA <i>(Paper, auto-mated, micro-film, etc.)</i> (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)	
			AID/W USAID NAME & CORRES. SYM.					YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	<input type="checkbox"/>

AID 5-86 (02/99)--Report Control Symbol W-157

**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
RECORDS INVENTORY AND DISPOSITION PLAN
(INSTRUCTIONS ON REVERSE)**

PAGE ____ OF ____

PAGES

ORGANIZATIONAL UNIT NAME:			2. FOR RECORDS MAINTAINED FROM:				TO:	
3. FILES PLAN (Check one) <input type="checkbox"/> New <input type="checkbox"/> Revised		4. DATE PREPARED		5. PREPARED BY (Files Custodian)		6. PHONE NUMBER		
7. RECORDS MANAGEMENT (ADS CHAPTER 502)				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	
			Yes	P				
			Yes	P				
			Yes	P				
11. THIS PLAN REFLECTS ALL RECORDS MAINTAINED BY THIS OFFICE			Supervisor's Signature 				Date	
12. THIS PLAN CONFORMS WITH RECORDS MANAGEMENT STANDARDS.			Record's Liaison Officer's (RLO) Signature (Appointed by Bureau/Officer) 				Date	
13. THIS PLAN CONFORMS WITH RECORDS MANAGEMENT STANDARDS AND IS APPROVED			Agency's Records Manager's Signature 				Date	

AID 520-2 (11/98)--Report Control Symbol W-155
Continuation Pages)

(Use Form AID 520-2A for

SAMPLE - NOT FOR OFFICIAL USE

7. Records Management Program, ADS, Chapter 502								PAGE OF PAGES		
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 DESTROY -ED	C ON HAND			
			Yes	P						
			Yes	P						
			Yes	P						
			Yes	P						
			Yes	P						
			Yes	P						

AID 520-2A (11/98)--Report Control Symbol W-155

SAMPLE - NOT FOR OFFICIAL USE



USAID
FROM THE AMERICAN PEOPLE

Information Systems Inventory

i) Name/Telephone/E-mail of person conducting inventory:	(1b) Date:	(1c) Bureau/Office/Division:
---	-------------------	-------------------------------------

System Name & Acronym:

Purpose: (Indicate reasons for the system and requirements met by it.)

Program(s) / Mission(s) Supported: (Show the Agency program(s) or mission(s) to which the system relates, and cite y authorizing laws or directives. List contact information for program personnel who can provide additional information out the program and system supporting it.)

System Managers:	Name/Location/Contact Information:
For Development Documentation:	a.
For Systems Documentation:	b.
For Operational/Maintenance Materials:	c.

Hardware/Software Environment: (Identify the network operating system used and the client architectures.)

a) System contains following documents: Data <input type="checkbox"/> Documentation Development <input type="checkbox"/> Operation/Maintenance Input Source Data	(7b) Is System Data Duplicated Elsewhere? <input type="checkbox"/> Original <input type="checkbox"/> Copy Copy Locations: <input type="checkbox"/> In Office/Division <input type="checkbox"/> Within the Agency <input type="checkbox"/> Off-site (Where?)
	a) Inclusive Dates of Records: From: To: 502-1 (03/05)

(Prior Editions of 502-1 Not Usable) Page

Data Inputs and Sources: (Describe primary data input sources and providers of the data into the system. Also, give names of any other systems, either inside or outside the Agency, from which this information system receives data.)

Master Files (Informational Content): (Indicate main subject matter, date coverage, time span, geographic coverage, update cycle, and other major characteristics of the system.)

Information transferred to other systems: Yes No (If yes, what other systems?)

Excess information saved? Yes No

Major Outputs: (e.g. screens of information, printouts, final studies, tapes used for other electronic systems, etc.)

- Reports:** Daily Weekly Monthly Yearly
- Tables:** Daily Weekly Monthly Yearly
- Charts:** Daily Weekly Monthly Yearly
- Publications:** Daily Weekly Monthly Yearly
- Other:** Daily Weekly Monthly Yearly

Remarks:

Documentation: (Provide system and technical documentation for the system. This includes a narrative description of the system, physical and technical characteristics of the records, location of codebooks and file layouts, describe indexes if any, key unit of analysis for each file, and any other documentation needed to read and process the records. See 36 CFR 1234.20 (b))

If unscheduled, what is the recommended disposition? (See instructions)

Permanent Temporary

Remarks:

Has system's purpose/use changed since schedule was approved? Yes No

Yes, explain:

Restrictions on access and use: (Is a public-use version available? Yes No)

- Public Disclosure: Required Prohibited
- Security Classification: Sensitive but Unclassified Confidential Secret Top Secret
- Other: Vital FOIA Privacy Act Subject to Audit Archival

Location and volume of any storage media containing identical information (i.e. Back-ups):
(Indicate # of tapes/disks and storage capacity).

Instructions

Items 1 through 8: Self-explanatory

Items 9 through 12: Critical information areas needed for this inventory. Provide as much detail (form number/names, etc.) as possible in order to determine information and work flow.

Item 13: In completing this item, think of the following questions:

- a) **When does the information cease to have value to your program or USAID?**
- b) **How long should it be held for legal, fiscal, administrative, or historical reasons?**
- c) **How long should it be maintained to support current Agency business?**

Items 14 through 16: Self-explanatory

Note: Please contact the E-records Program Manager (M/AS/IRD) with any questions.

Calendar Checklist of Records Management Responsibilities

Daily

- Complete filing for the day.

Monthly

- Review and update file plan, and circulate changes to staff.
- Cut off folders as needed, and add new folder titles as needed.
- Check filing supplies and order as needed.
- Check that borrowed files have been returned or are still in active use.

Semiannually

- Spot check file labels. Are they complete, accurate, and consistent?

Annually

- Cut off subject files at end of fiscal year. Create empty folders for new fiscal year as necessary.
- Retire or destroy eligible records. Separate inactive files.
- Survey staff members on amount and ease of file use.
- Update filing system as needed.
- Update file plan and submit Form AID 520-2 to Information and Records Division Office.
- Circulate updated file plan to office staff.

GENERAL RECORDS SCHEDULE 20 – ELECTRONIC RECORDS

www.archives.gov/records-mgmt/ardor/grs20.html

(as of April 2010)

Electronic Records

This schedule provides disposal authorization for certain e-records and for specified paper, microform, or other hard copy records that are integrally related to the electronic records.

This schedule applies to electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.

GRS 20 does not cover all electronic records. Disposition may not be carried out for electronic records not covered by GRS 20 unless authorized by a Standard Form (SF) 115, Request for Records Disposition Authority, that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Items 1a (in part), 2a, and 16 of this schedule apply to hard copy records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for the referenced electronic records whatever the medium in which such programs and documentation exist.

This schedule has been revised to expand the authority agencies have to apply previously approved schedules to electronic records; grant broader authority to agencies to dispose of hard copy records that have been converted to an electronic format; and provide disposition instructions for ad hoc printouts and for documentation associated with permanent electronic records. Additionally, because copies of system security records are now covered by GRS 24, item 5, a cross-reference has been provided for item 11b to that effect. The items affected by the revisions to this GRS 20 schedule are 2, 3, 3.1, 11, and 16.

GENERAL RECORDS SCHEDULE 20 – ELECTRONIC RECORDS

www.archives.gov/records-mgmt/ardor/grs20.html

(as of April 2010)

Electronic versions of most records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20. See also 36 CFR Part 1234 for NARA regulations on electronic records management.

1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.

- a. Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records.

Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.

Delete after information has been transferred to the master file and verified.

- c. Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

2. Input/Source Records.

- a. Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).

- (1) Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format.

Permanent. Transfer to NARA in accordance with previously approved schedule.

- (2) Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion.

GENERAL RECORDS SCHEDULE 20 – ELECTRONIC RECORDS

www.archives.gov/records-mgmt/ardor/grs20.html

(as of April 2010)

Permanent. Transfer to NARA in accordance with previously approved schedule.

- (3) Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations).

Apply previously approved schedule.

- (4) Hard copy documents other than those covered by Items 2(a) (1) – (3).

Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later.

[NOTE: The term hard copy records or non-electronic records as used in this schedule includes, in addition to traditional textual files: still picture negatives, prints, slides, and transparencies; aerial photography, maps, charts, and drawings; motion picture film and analog videotape; and analog sound recordings.]

- b. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes.

Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later.

- c. Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.

Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as backup to, the master file or database, whichever is later.

- d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.

GENERAL RECORDS SCHEDULE 20 – ELECTRONIC RECORDS

www.archives.gov/records-mgmt/ardor/grs20.html

(as of April 2010)

Delete after the necessary data have been incorporated into a master file.

3. Electronic Records That Replace Temporary Hard Copy Records.

Electronic records that replace temporary hard copy records covered by previously approved schedules that do not explicitly exclude electronic records. (If a previously approved schedule explicitly excludes electronic records, an SF 115 must be submitted to NARA. None of the authorities provided below may be applied.)

a. Scanned images

Delete after the expiration of the retention period authorized for the hard copy records.

b. Electronic formats other than scanned images

- (1) Records covered by temporary items in the GRS other than GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files)

OR

Records covered by temporary items in an agency-specific schedule that pertain to administrative housekeeping activities.

Delete after the expiration of the retention period authorized for the hard copy records.

- (2) Records covered by GRS 1, Item 21 (Employee Medical Folders); GRS 1, Item 22 (Statistical Summaries); GRS 1, Item 25f (Equal Employment Opportunity Statistics Files); GRS 12, Item 3 (Telecommunications Operational Files); and GRS 18, Item 5 (Top Secret Accounting and Control Files).

Submit SF 115 to NARA.

- (3) Digital versions of temporary still pictures, sound recordings, motion picture film, and video recordings.

Delete after the expiration of the retention period authorized for the hard copy records.

- (4) Program records approved for destruction in a previously approved schedule that is media neutral and does not explicitly exclude electronic records.

GENERAL RECORDS SCHEDULE 20 – ELECTRONIC RECORDS

www.archives.gov/records-mgmt/ardor/grs20.html

(as of April 2010)

Delete after the expiration of the retention period specified in the previously approved schedule.

- (5) Program records maintained in an electronic format that are not covered by Items 3(a), 3(b)(1), 3(b)(3), or 3(b)(4).

Submit SF 115 to NARA.

[NOTES: (1) Items 3(b)(1) and 3(b)(3) may be applied to electronic records consisting of information drawn from multiple previously scheduled hard copy series of administrative housekeeping records. In such instances, the electronic records must be retained for the longest retention period specified in the previously approved schedules. (2) Disposition authorities included in Item 3 may be applied to copies of records maintained on agency web sites only in the case of administrative housekeeping records. These items may not be applied to web site copies of program records, which must be scheduled separately.]

3.1 Electronic Records That Replace Permanent Hard Copy Records.

Electronic records that replace hard copy records approved as permanent in a previously approved schedule.

Permanent. Submit notification to NARA in accordance with 36 CFR 1228.31(b)(1)(i).

[NOTES: (1) Electronic versions of permanent records that are retained as recordkeeping copies must meet the standards contained in NARA guidance concerning the creation, maintenance, and transfer of permanent electronic records. (2) Item 3.1 may be applied if the electronic records consist of information drawn from multiple previously scheduled permanent series. In cases where the electronic records include information drawn from both temporary and permanent hard copy series, an agency may apply Item 3.1 or submit an SF 115 that proposes disposal of the records if the agency believes the electronic records do not warrant permanent retention. (3) This item does not cover copies of permanent records maintained on agency web sites, which must be scheduled separately.]

4. Data Files Consisting of Summarized Information.

Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval.

GENERAL RECORDS SCHEDULE 20 – ELECTRONIC RECORDS

www.archives.gov/records-mgmt/ardor/grs20.html

(as of April 2010)

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTE: Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval.]

5. Records Consisting of Extracted Information.

Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, EXCLUDING extracts that are:

- produced as disclosure-free files to allow public access to the data; or
- produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTES: (1) Records consisting of extracted information that was created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval. (2) See item 12 of this schedule for other extracted data.]

6. Print File.

Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

7. Technical Reformat File.

Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

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www.archives.gov/records-mgmt/ardor/grs20.html

(as of April 2010)

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

8. Backups of Files.

Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

a. File identical to records scheduled for transfer to the National Archives.

Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

b. File identical to records authorized for disposal in a NARA-approved records schedule.

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

9. Finding Aids (or Indexes).

Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

10. Special Purpose Programs.

Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Delete when related master file or database has been deleted.

11. Documentation.

GENERAL RECORDS SCHEDULE 20 – ELECTRONIC RECORDS

www.archives.gov/records-mgmt/ardor/grs20.html

(as of April 2010)

- a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records.

- (1) Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule.

Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later.

- (2) Documentation relating to electronic records that are scheduled for permanent retention in the GRS or in a NARA-approved agency schedule.

Permanent. Transfer to the National Archives with the permanent electronic records to which the documentation relates.

- b. Copies of records relating to system security.

Use GRS 24, item 5.

12. Downloaded and Copied Data.

Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.

- a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- c. Metadata or reference data, such as format, range, or domain specifications which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.

Delete from the receiving system or device when no longer needed for processing.

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[NOTE: See item 5 of this schedule for other extracted data.]

13. Word Processing Files.

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the word processing system when no longer needed for updating or revision.

14. Electronic Mail Records.

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the e-mail system after copying to a recordkeeping system.

[NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.]

15. Electronic Spreadsheets.

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

- a. When used to produce hard copy that is maintained in organized files.

Delete when no longer needed to update or produce hard copy.

- b. When maintained only in electronic form.

Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

16. Hard copy printouts created to meet ad hoc business needs.

Printouts derived from electronic records created on an ad hoc basis for reference purposes or to meet day-to-day business needs.

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Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records. (Printouts that contain substantive information should be disposed of in accordance with the NARA-approved schedule that covers the series in which they are filed.)

Chapter 1

1.
 - a. Non-record Material
 - b. Office file
 - c. Non-record material
 - d. Office file
 - e. Office File
 - f. Personal file
 - g. Office file

2.
 - a. Bureau, Independent Office and Mission management.

3.
 - a. Online reference.
 - b. Mandatory Guidance for USAID records management.
 - d. All-in-one source for USAID records management policy directives and required procedures.

4. Answer depends on your Mission location.

Chapter 2

1.
 - c. A group of related records, held for the same period of time that has a unique number.

2.
 - a. False
 - b. True
 - c. True

3.
 - b. Case File

4.
 - a. The item number for each series of records in the office.
 - b. A description of the official files in the office.
 - d. The disposition instructions for all records in the office.
 - e. The physical location (e.g. cabinet and file drawer) for all the office's official records.

Chapter 3

1.
 - b. Use a charge out card that indicates the name of the person removing the record, date the record was removed, and a description of the record.

2.
 - a. True
 - b. True
 - c. False
 - d. True

3.
 - d. Since the records are closed and temporary, you can destroy them when they are no longer needed.

4.
 - b. Hold them in the office for two years, then prepare them for retirement and send them to M/AS/IRD who will retire them to WNRC.

5.
 - a. No
 - b. No
 - c. Yes

6.
 - a. Annually
 - b. Monthly
 - c. Annually
 - d. Annually
 - e. Annually
 - f. Daily

CHAPTER ANSWER KEY

Chapter 4

1. c. As new information systems are developed, system owners are required to complete the form and submit it to the Records Management M/AS/IRD Client Analyst.
2. c. The record must be printed and maintained in hard copy in the office's official files.
3. All of the above
4. a. False
b. False
c. True
d. True

Chapter 5

1. a. Rights and Interest Records
b. Rights and Interest Records
c. Emergency Operating Records
d. Emergency Operating Records
e. Rights and Interest Records
2. a. AID 5-84, Inventory of Emergency Operating Records
b. AID 5-85, Transmittal of Vital Records for Safe Storage
c. AID 5-86, Inventory of Rights and Interest Records

FINAL TEST ANSWER KEY

1. d
2. c
3. d
4. c
5. a
6. b
7. c
8. b
9. a
10. c
11. b
12. a
13. a
14. c
15. c
16. d
17. a
18. d
19. a
20. d

Special Thanks

This guide was created under the direction of the USAID Information and Records Division (M/AS/IRD). Special thanks to the DKW Communications, Inc., E-Records team and Directives Management team for revising and preparing this reference guide for print publication. Carney Inc., published the Online USAID Records Management Training Course.

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THE HISTORY OF THE

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