

Request for Records Disposition Authority

Records Schedule Number: DAA-0286-2012-0002
Schedule Status: Returned Without Action
Agency or Establishment: Agency for International Development
Record Group / Scheduling Group: Records of the Agency for International Development
Records Schedule Applies to: Agency-wide
Schedule Subject: Part 1 of 10 of the USAID Washington Disposition Schedule -
Records Common to Most Offices
Internal agency concurrences will be provided: No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	23

GAO Approval

Returned Without Action

Outline of Records Schedule Items for DAA-0286-2012-0002

Sequence Number	
1	Office General Administrative Files
1.1	Washington Based Components Communications Center Master File Disposition Authority Number: DAA-0286-2012-0002-0001
1.2	Communication Files in Other Offices Disposition Authority Number: DAA-0286-2012-0002-0002
1.3	Correspondence Files
1.3.1	Files Maintained by or for the Immediate Offices of the Following Agency Executives: Disposition Authority Number: DAA-0286-2012-0002-0003
1.3.2	Files Maintained by Other Offices Disposition Authority Number: DAA-0286-2012-0002-0004
2	General Subject Correspondence Files
2.1	Subject Files Maintained at High Organizational Levels Disposition Authority Number: DAA-0286-2012-0002-0006
2.2	Program Correspondence Files of Country Desk Offices in the Geographic Bureau Disposition Authority Number: DAA-0286-2012-0002-0007
2.3	All Other Subject Files within the Washington Based Component Offices Disposition Authority Number: DAA-0286-2012-0002-0008
3	Annual Budget Submission Files
3.1	Bureau of Policy, Planning and Learning Record Copy Disposition Authority Number: DAA-0286-2012-0002-0009
3.2	Bureau of Policy Planning and Learning Budget Background Files Disposition Authority Number: DAA-0286-2012-0002-0010
3.3	Files of all Washington Based Components Disposition Authority Number: DAA-0286-2012-0002-0011
4	Congressional Presentation
4.1	Office of Legislative and Public Affairs Disposition Authority Number: DAA-0286-2012-0002-0012
4.2	Files Documenting the Preparation of the Detailed Agency Budget Request Disposition Authority Number: DAA-0286-2012-0002-0013
4.3	All Other Copies Disposition Authority Number: DAA-0286-2012-0002-0014
5	Project Assistance Records

Returned Without Action

- 5.1 Development Assistance Project File
 - 5.1.1 Original Case Files
Disposition Authority Number: DAA-0286-2012-0002-0015
 - 5.1.2 Computerized Index to Project
Disposition Authority Number: DAA-0286-2012-0002-0016
 - 5.1.3 Duplicate Case Files
Disposition Authority Number: DAA-0286-2012-0002-0017
 - 5.1.4 Original Paper Copies of Project Records
Disposition Authority Number: DAA-0286-2012-0002-0018
 - 5.1.5 Closed Project Files
 - 5.1.5.1 Pre-Project Initiation Documents
Disposition Authority Number: DAA-0286-2012-0002-0019
 - 5.1.5.2 All Other Records
Disposition Authority Number: DAA-0286-2012-0002-0020
- 6 Project Plan and Engineering Files
 - 6.1 Copies
Disposition Authority Number: DAA-0286-2012-0002-0021
 - 6.2 Technical Project Feasibility Studies
Disposition Authority Number: DAA-0286-2012-0002-0022
 - 6.3 Bureau Project Evaluation Files
Disposition Authority Number: DAA-0286-2012-0002-0023
 - 6.4 Non-Project Assistance Records
Disposition Authority Number: DAA-0286-2012-0002-0024

Returned Without Action

Records Schedule Items

Sequence Number	
1	Office General Administrative Files
1.1	Washington Based Components Communications Center Master File
	Disposition Authority Number DAA-0286-2012-0002-0001
	The master file of all telegraphic correspondence sent or received by the Agency. In addition to being a reference point for the Communications Center message analysts, this file also receives considerable use for investigations, background studies, and research.
	Final Disposition Temporary
	Item Status Withdrawn
	Is this item media neutral? Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No
	GRS or Superseded Authority Citation 41-286-86-001/01020
	Disposition Instruction
	Cutoff Instruction Cutoff annually by fiscal year.
	Transfer to Inactive Storage Transfer to records management application after cutoff
	Retention Period Destroy 7 year(s) and 3 month(s) after after cutoff
	Additional Information
	GAO Approval Not Required
1.2	Communication Files in Other Offices
	Disposition Authority Number DAA-0286-2012-0002-0002
	Communication files maintained in the individual offices of the Agency's Washington headquarters as "easy reference" files.
	Final Disposition Temporary
	Item Status Withdrawn
	Is this item media neutral? Yes
	Do any of the records covered by this item currently exist in No

Retained Without Action

electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation N1-286-86-001/01030

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

Transfer to Inactive Storage Retain in active office files or records management application.

Retention Period Destroy 1 year(s) after cutoff or when no longer needed occurs, whichever is sooner

Additional Information

GAO Approval Not Required

1.3

Correspondence Files

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

1.3.1

Files Maintained by or for the Immediate Offices of the Following Agency Executives:

Disposition Authority Number DAA-0286-2012-0002-0003

The Administrator, Deputy Administrator, Assistant Administrators, and the Directors of Offices that report directly to the Administrator.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation N1-286-86-001/01040

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

Transfer to Inactive Storage Retain in active files or records management application.

Retention Period Destroy 1 year(s) after cutoff or when no longer needed occurs, whichever is sooner

Returned Without Action

	Additional Information	
	GAO Approval	Not Required
1.3.2	Files Maintained by Other Offices	
	Disposition Authority Number	DAA-0286-2012-0002-0004
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-286-86-001/01050
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually by fiscal year.
	Transfer to Inactive Storage	Retain in active office files or records management application.
	Retention Period	Destroy 1 year(s) after cutoff or when no longer needed occurs, whichever is sooner
	Additional Information	
	GAO Approval	Not Required
2	General Subject Correspondence Files	
	Letters, memoranda, studies, reports, forms, and other data documenting and/or implementing plans, policies procedures, accomplishments, opinions, and decisions pertaining to Agency program and staff activities, with related indexes and finding aids. Arranged by subject/name/country, as appropriate.	
2.1	Subject Files Maintained at High Organizational Levels	
	Disposition Authority Number	DAA-0286-2012-0002-0006
	Subject, name, or country files maintained by or for the immediate offices of the following Agency executives: the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy and that are filed centrally or in decentralized locations.	
	Final Disposition	Permanent
	Item Status	Withdrawn
	Is this item media neutral?	Yes

Returned Without Action

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	N1-286-86-001/01100
Disposition Instruction	
Cutoff Instruction	Cutoff annually by fiscal year.
Transfer to Inactive Storage	Hold in office or records management application for 2 years.
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 10 year(s) after transfer to inactive storage.
Additional Information	
What will be the media span of the initial transfer of records to the National Archives?	Unknown N/A
How frequently will your agency transfer these records to the National Archives?	Every 5 Years
2.2 Program Correspondence Files of Country Desk Offices in the Geographic Bureaus	
Disposition Authority Number	DAA-0286-2012-0002-0007
Files documenting the operations within the Agency and reflecting their problems and accomplishments.	
Final Disposition	Temporary
Item Status	Withdrawn
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
Disposition Instruction	
Cutoff Instruction	Cutoff annually by fiscal year.
Transfer to Inactive Storage	Hold in office or records management application.
Retention Period	Destroy 12 year(s) after cutoff.

Returned Without Action

2.3

Additional Information

GAO Approval Not Required

All Other Subject Files within the Washington Based Component Offices

Disposition Authority Number DAA-0286-2012-0002-0008

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation

N1-286-86-001/01120

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

Transfer to Inactive Storage Hold in office or records management application.

Retention Period Destroy 12 year(s) after cutoff

Additional Information

GAO Approval Not Required

3

Annual Budget Submission Files

Annual budget submission by each overseas post and each Washington based organizational entity. Includes instructions, assumptions, and guidelines for preparation; the budget request itself; supporting documentation; and related information.

3.1

Bureau of Policy, Planning and Learning Record Copy

Disposition Authority Number DAA-0286-2012-0002-0009

Annual budget submissions of overseas posts, and Washington based Bureaus and Staff Offices.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/01130

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

Transfer to Inactive Storage Hold in office or records management application for 5 years.

Transfer to the National Archives for Accessioning Transfer to the National Archives in 5 year blocks 10 year(s) after transfer to inactive storage.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
N/A

How frequently will your agency transfer these records to the National Archives? Every 5 Years

3.2

Bureau of Policy Planning and Learning Budget Background Files

Disposition Authority Number DAA-0286-2012-0002-0010

Containing justifications, amounts requested and supporting papers.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/01140

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

Transfer to Inactive Storage Hold in office or records management application.

Retention Period Destroy 6 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Files of all Washington Based Components

3.3

Disposition Authority Number DAA-0286-2012-0002-0011

With the exception of files from Bureau of Policy Planning and Learning, these files consist of guidelines on annual budget preparation and preliminary budget estimates, supporting papers, cost estimates, rough drafts, and data accumulated in preparation of annual budget estimates, including duplicates of papers included in overseas posts' final budget estimate files.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/01150

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.

Transfer to Inactive Storage Hold in office or records management application.

Retention Period Destroy 3 year(s) after after close of fiscal year covered by the budget.

Additional Information

GAO Approval Not Required

Congressional Presentation

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

Office of Legislative and Public Affairs

Disposition Authority Number DAA-0286-2012-0002-0012

Record copy of the Congressional Presentation and one copy of each congressional notification.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-286-86-001/01160

Returned Without Action

4

4.1

Disposition Instruction

Cutoff Instruction

Cut off annually by fiscal year.

Transfer to Inactive Storage

Hold in office or records management application for 2 years.

Transfer to the National Archives for Accessioning

Transfer to the National Archives in 5 year blocks 10 year(s) after transfer to inactive storage.

Additional Information

What will be the date span of the initial transfer of records to the National Archives?

Unknown
N/A

How frequently will your agency transfer these records to the National Archives?

Unknown
N/A

4.2

Files Documenting the Preparation of the Detailed Agency Budget Request

Disposition Authority Number DAA-0286-2012-0002-0013

Detailed Agency budget request to Congress, including supplementary schedules, exhibits, etc. The files contain documents used in Congressional budget presentations, providing, by year, the U.S. assistance, subdivided by major programs.

Final Disposition

Temporary

Item Status

Withdrawn

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1-286-86-001/01170

Disposition Instruction

Cutoff Instruction

Cutoff annually

Transfer to Inactive Storage

Hold in office or records management application.

Retention Period

Destroy 6 year(s) after cutoff

Additional Information

GAO Approval

Not Required

4.3

All Other Copies

Disposition Authority Number **DAA-0286-2012-0002-0014**

Congressional presentations and notifications.

Final Disposition **Temporary**

Item Status **Withdrawn**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

GIS or Superseded Authority Citation **N1-286-86-001/01180**

Disposition Instruction

Retention Period **Destroy when no longer needed**

Additional Information

GAO Approval **Not Required**

5

Project Assistance Records

Records relating to the Agency for International Development's Development Assistance Program. Assistance is provided in the form of loans and grants for improving the quality of life of people in less developed countries through programs in agriculture, rural development, nutrition, family planning, health, education and human resources, energy, private industry development, and science and technology.

5.1

Development Assistance Project File

Case files on technical and capital assistance development projects, consisting of studies, surveys, project identification documents, project papers, copies of loan and grant agreements and amendments, project implementation orders, implementation letters, contracts, audits, report and evaluations, and other related records and correspondence. These files document the initial concept, the approved design, the progress and problems of implementation, and the successes and/or failures of the individual project.

5.1.1

Original Case Files

Disposition Authority Number **DAA-0286-2012-0002-0015**

These files are on previous or obsolete media such as silver master microfilm or other microfiche products.

Final Disposition **Permanent**

Item Status **Withdrawn**

Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
GRS or Superseded Authority Citation	N1-286-86-001/01190
Disposition Instruction	
Cutoff Instruction	Cutoff annually by fiscal year.
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 2 year(s) after cutoff.
Additional Information	
What will be the date (year) of the initial transfer of records to the National Archives?	Unknown N/A
How frequently will your agency transfer these records to the National Archives?	Unknown N/A
5.1.2 Computerized Index to Project	
Disposition Authority Number	DAA-0286-2012-0002-0016
Index that accompanies the corresponding project records.	
Final Disposition	Permanent
Item Status	Withdrawn
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	N1-286-86-001/01200
Disposition Instruction	
Cutoff Instruction	Cutoff annually by fiscal year.
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 2 year(s) after cutoff.

Returned Without Action

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
The date span of these records is unknown

How frequently will your agency transfer these records to the National Archives? **Every 2 Years**

5.1.3

Duplicate Case Files

Disposition Authority Number **DAA-0286-2012-0002-0017**

These files are on previous or obsolete media such as silver master microfilm or other microfilm products.

Final Disposition **Temporary**

Item Status **Withdrawn**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation **N1-286-88-00101210**

Disposition Instruction

Cutoff Instruction **Cutoff annually by fiscal year.**

Transfer to Inactive Storage **Hold in office or records management application**

Retention Period **Destroy 2 year(s) after cutoff.**

Additional Information

GAO Approval **Not Required**

5.1.4

Original Paper Copies of Project Records

Disposition Authority Number **DAA-0286-2012-0002-0018**

These are the original paper copies of documents transferred to microfilm.

Final Disposition **Temporary**

Item Status **Withdrawn**

Is this item media neutral? **Yes**

	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-286-90-002/01240
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually by fiscal year.
	Transfer to Inactive Storage	Transfer original records to the records management application.
	Retention Period	Destroy 2 year(s) after transfer to cutoff.
	Additional Information	
	GAO Approval	Not Required
5.1.5	Closed Project Files	
	These are original files that were not transferred to microfilm.	
5.1.5.1	Pre-Project Initiation Documents	
	Disposition Authority Number	DAA-0286-2012-0002-0019
	Project paper or equivalent core official documents and all reports.	
	Final Disposition	Permanent
	Item Status	Withdrawn
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-286-93-001/01250/gm
	Disposition Instruction	
	Cutoff Instruction	Cutoff annually by fiscal year and review for closed projects.
	Transfer to the National Archives for Accessioning	Transfer to the National Archives 5 year(s) after cutoff.
	Additional Information	
	What will be the date span of the initial transfer of records to the National Archives?	Unknown N/A

Returned Without Action

	How frequently will your agency transfer these records to the National Archives?	Unknown N/A
5.1.5.2	All Other Records	
	Disposition Authority Number	DAA-0286-2012-0002-0020
	Other forms, drafts, working papers, and correspondence used to complete the project.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-286-93-001/01250/g/2
	Disposition Instruction	
	Cutoff Instruction	Cutoff when project is complete.
	Retention Period	Destroy immediately after cutoff.
	Additional Information	
	GAO Approval	Not Required
6	Project Plan and Engineering Files	
6.1	Copies	
	Disposition Authority Number	DAA-0286-2012-0002-0020
	Copies of engineering plans and related material pertaining to individual projects.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	N1-286-86-001/01270
	Disposition Instruction	

Returned Without Action

6.2

Cutoff Instruction Cutoff annually by fiscal year.
Transfer to Inactive Storage Hold in office or records management application.
Retention Period Destroy 2 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Technical Project Feasibility Studies

Disposition Authority Number DAA-0286-2012-0002-0022

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

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than mail and word processing? No

GRS or Superseded Authority Citation N1 286-86-001/01280

Disposition Instruction

Cutoff Instruction Cutoff annually by fiscal year.
Transfer to Inactive Storage Hold in office or records management application.
Retention Period Destroy 12 year(s) after cutoff.

Additional Information

GAO Approval Not Required

6.3

Bureau Project Evaluation Files

Disposition Authority Number DAA-0286-2012-0002-0023

Documents pertaining to plans, evaluations, and reports on Mission component and Bureau activities in project planning and evaluation. This material duplicates information in project files.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in No

electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation N1-286-86-001/01300

Disposition Instruction

Cutoff Instruction Cutoff files when project is complete.

Transfer to Inactive Storage Hold in office or records management application.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

6.4

Non-Project Assistance Records

Disposition Authority Number DAA-0286-2012-0002-0024

These records include grants and loans for program assistance in selected countries of special political interest to the United States. Recipients purchase goods and services from U.S. institutions and firms under existing Public Laws. Cash transfers and sector assistance are also provided as non-project assistance.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff after loan has been fully repaid (maximum of 40 years).

Retention Period Destroy 1 year(s) after cutoff

Additional Information

GAO Approval Not Required

Returned Without Action

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
12/12/2012	Certify	Lynn Winston	Agency Records Officer	USAID - MMSIRD
03/10/2014	Returned Without Action	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services

Returned Without Action